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ABSTRACT

This project developed a conceptual framework for viewing educational planning. The original framework was based on a review of literature. A questionnaire was developed and distributed to school districts involved in systematic planning. Four of those districts, each with a distinctive approach to planning, were subjected to case study. The data generated by the Educational Planning Process Questionnaire (EPPQ) and the four case studies were analyzed using the original conceptual framework. The framework was then modified and expanded to account for key variables identified in the present study. The refined framework, which includes 18 variables found to be significant in educational planning, was organized around three basic questions: (1) What are the specific techniques and methodologies of the planning approach? (2) How does the planning approach gain and retain legitimacy and effectiveness in the school system? and (3) How is the planning approach actually used in the school system? The primary contributions of the project include the development of the conceptual framework and the case studies, theory building, and instruction; the presentation of testable propositions about educational planning; and baseline data on the state of educational planning. A selected bibliography is included. (Author)

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Final Report

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Project No. 2B036

Contract No. OEG-2-2-2B036

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DEVELOPING A CONCEPTUAL FRAMEWORK FOR VIEWING MODELS OF EDUCATIONAL PLANNING

June 1974

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

National Center for Educational Research and Development
(Regional Research Program)

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Abstract

This project developed a conceptual framework for viewing educational planning. The original framework was based upon a review of literature. A questionnaire was developed and distributed to school districts involved in systematic planning. Four of those districts, each with a distinctive approach to planning, were subjected to case study.

The data generated by the Educational Planning Process Questionnaire (EPPQ) and the four case studies were analyzed using the original conceptual framework. The framework was then modified and expanded to account for key variables identified in the present study.

The refined framework was organized around three basic questions, and includes 18 variables found to be significant in educational planning: (1) What are the specific techniques and methodologies of the planning approach? (Techniques and Methodologies) (2) How does the planning approach gain and retain legitimacy and effectiveness in the school system (Process Variables) (3) How is the planning approach actually used in the school system? (Functional Application)

The primary contributions of the project include: (1) the development of the conceptual framework and the case studies, both of which may be used for research, theory building, and instruction; (2) the presentation of testable propositions about educational planning; and (3) base line data on the state of educational planning.

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U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

National Center for Educational Research and Development

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Chapter I

Introduction

People in organizations have always been concerned with planning. In recent years greater attention has been focused upon this concern in education. Accelerating social change and dissatisfaction with the adaptive capabilities of the schools are two factors stimulating this attention. A third factor is the recognition of the advancement in planning technologies found in industry and government.

The word "planning" has its root in the Latin word "planum" meaning flat surface. In the 1600's the word (planning) in the English language referred to attempts at representing forms on a flat surface--such as a map or blueprint.

The attempt to develop and implement "blueprints" for the design of education continues to be very complex. As a technical process of systematic decision making, planning involves the development of procedures necessary to insure a thorough analysis of relevant complex issues (Kraft 1969, Pfeiffer 1968). Educational planning is also a process which helps to create an institutional and individual mind-set or frame of reference which places increasing emphasis on present-future capabilities and needs rather than a past-present orientation (Miles & Lake 1967, Hansen, 1967).

The benefits of both views of educational planning are evident. However, even the most cursory reading of the literature reveals a number of issues which will need to be confronted if the art and science of planning is to fulfill the expectations of its advocates. Among these issues are: How does a planning model gain entry and legitimacy in a school system? How is it different throughout the system? What types of techniques derive from differenc planning models? What are the key variables involved in the planning process?

Dealing with these and related issues is especially important in education since in most cases the models for planning in education have been taken directly from business and industry with little or no adaptation to accommodate to those factors uniquely associated with the

total environment of education. A comprehensive conceptual framework which gives meaning to the processes of educational planning is lacking. More needs to be known of the unique problems faced by educational planners. More needs to be known also of the comparative virtues of current popular approaches as they are applied in education.

It was the purpose of the project reported in this document to identify key characteristics of the planning process in educattion and to develop a conceptual framework within which these characteristics may be meaningfully related.

Review of Literature

Simply stated, planning refers to the means for achieving some desired goal or outcome. The relevant literature, which continues to grow in education and other fields, elaborates on this theme at great length. What follows is a brief review of certain of this literature as it clarifies and distinguishes among certain characteristics of planning.

Types of Planning

Boyer (1971) divided planning into two types according to the degree of control assumed over variables in the present and future environment:

(1) Expansive Planning: based on the anticipation of trends: this type of planning confronts problems of adjusting people and institutions to changes in the environment. This is probably the most common form of social planning (e.g., anticipating future job needs and preparing people to be more marketable).

(2) Reconstructive Planning: primarily assumes that what is needed is not planning for the future but planning of the future. This type of planning attempts to adjust trends to people and their needs.

Lecht (1967) classified planning approaches according to the emphasis placed on efficiency as opposed to the efficacy of the

behavior of the system:

(1) Performance Planning: deals with problems of how to obtain capacity and efficiency, and is associated with technical analysis and scientific determinism.

(2) Achievement Planning: deals with the setting of priorities and designing programs which could achieve them; such choices are essentially political, with educators involved in helping others understand the problems, participating in decisions and effecting change.

Steiner (1969) pointed to difficulties, conceptual as well as operational which arrise from failure to distinguish between strategic and tactical planning:

(1) Stragetic Planning: "is the process of determining the major objectives of an organization and the policies and strategies that will govern the acquisition, use and disposition of resources to achieve those objectives...including mission or purposes" (Steiner, 1969, p.34).

(2) Tactical Planning: is usually characterized as being more short-ranged, less subjective, having more givens, more certainty. It is more detailed and more functionally oriented.

Important differences also have to be drawn according to the time span of the planning. Such a classification might be divided as follows:

(1) Very short range: day-by-day decisions, reactions to events and crises which arise unexpectlly.

(2) Short range: (1-2 years) usually plans for the current school year--concerned with both continuation of existing programs and the institution of new programs.

(3) Medium range: (3-4 years).

(4) Long range: (5 years or more).

Ideally, each type of planning would inform the others. For example, very short range planning (day-by-day) events would be related to long run goals of the systems; and the long run goals would provide guidelines for short range planning. At the same time, problems encountered daily would provide one basis for formulating long range goals. In practice, except for building programs, very little medium or long range planning seem to take place in education.

Modes of Approach

Kaufman (1970) described three categories of system approaches to planning which consider comprehensiveness as the key variable:

(1) Design - process mode--assumes little or nothing about the validity of the current system. This is a complete approach, from needs assessment to evaluation of the designed and implemented program.

(2) Solution - implementation mode--identification and use of solutions. This mode assumes a valid need exists and is used to draw advancements and innovations made in other systems into the local system.

(3) Description mode--emphasis is on describing the existing or desired system. This mode attempts to identify what is or should be, but does not move on to consider what should be done to change from the current to the desired situation.

Kaufman related these three categories to a set of steps in the planning process. Schematically, he showed the relationship as follows:

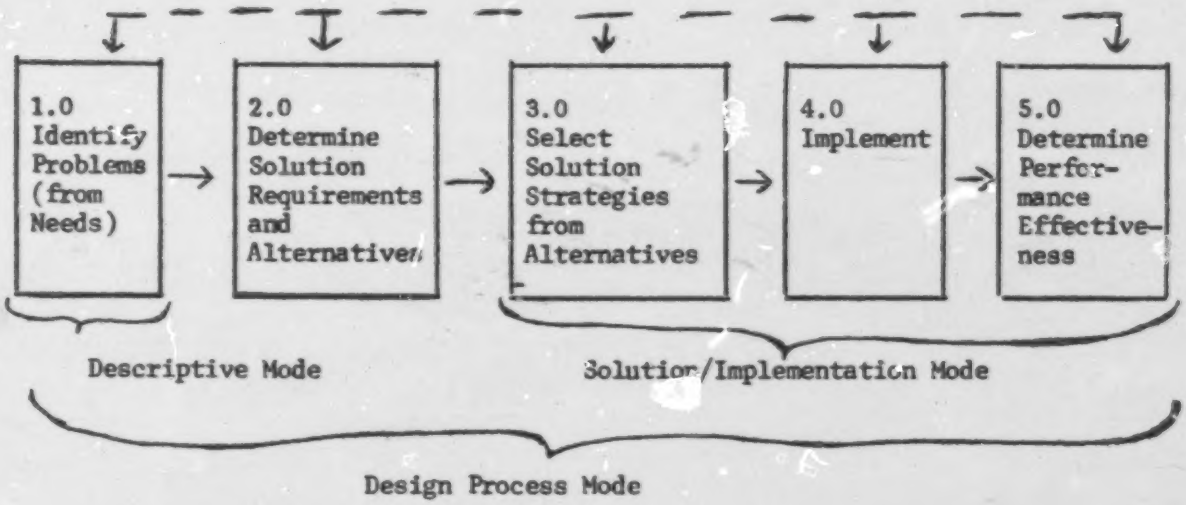


Figure 1: Interrelationship of Three Possible Modes for System Approaches to Education

Source: Roger A. Kaufman, "System Approaches to Education: Discussion and Attempted Integration," in Social and Technological Change: Implications for Education, edited by Philip K. Piele, et.al. (Eugene, Oregon: Center for the Advanced Study of Educational Administration, 1970), p. 160.

Environment-System Relationship in Planning

The relationship between the system and its environment in the planning process has been explored by a number of experts. In an open system, such as the educational system, inputs are derived from the environment and outputs generated back into the environment. A key problem in relation to educational systems is the existence of a number of environments (e.g. multi-leveled governmental structure, and a pluralistic, changing society) which makes exact identification of a stable environment impossible.

Ewing (1968) made a distinction between the "outside-in" approach to planning and the "inside-out" approach in attempts to deal with the system's environment:

(1) The outside-in approach is characterized by an outward-oriented search for the mission, purpose and objectives for the organization. In the business world this may mean detecting trends and new tastes and "getting there first" with the desired product. In economic terms it is commitment to the concept of "consumer sovereignty". In educational institutions this could describe planning processes designed to include "the grass roots" in planning or, at the minimum, planning with the interests of the constituency as a central focus. This approach to planning probably is held, implicitly or explicity, by advocates of community control.

(2) The inside-out approach is characterized more by an inward-oriented search for mission and objectives. The system examines itself, looking for unique talents and abilities it can offer and then designs strategies for gaining acceptance for its outputs. As Ewing states, the system "looks first at the most important abilities, talents, and aptitudes of the organization", then at ways of strengthening them, then at the areas where opportunities lie for them (Ewing, 1968, p. 52).

In educational terms, this issue is translated into the emphasis placed on professionally-led as opposed to constituency-led orientation in the planning process.

A key problem in educational planning is the existence of a variety of "environments", often in conflict. Planning programs described in the literature usually make no or little mention of the variety of power systems acting upon the institutions--perhaps reflecting a typical rationalistic bias and consensus orientation of educational planners. Either homogeneity of power systems is assumed or the topic is simply omitted from consideration. However, the school system is more than simply a functional, rational mechanism--it is also a social and political institution linked with distributions of power.

Kimbrough (in Morphet and Ryan, 1967) included the identification of the power structure type and appropriate responses on the part of educational leaders as necessary parts of the planning process. Implications for funding, change strategies, involvement patterns in planning, and the planning processes themselves are influenced by the local political environment.

This would imply that educators interested in planning--especially planning for change--in a monopolistic-closed community may have to consider approaches for their unique situation: e.g., development of "procurement skills"; use of "soft money"; building strong linkages to the outside (e.g., universities, federal, state, and regional agencies); mobilization of latent power systems; providing perhaps the only leadership for change available in the local community; persuasion and public relations, etc.

Corwin's (1965) analysis using the concepts of local and cosmopolitan orientations of the school and community in describing various interface types suggests the same concept of flexible planning programs based upon local political considerations.

Specific Procedures and Techniques Used

Planning, as defined by Alkin and Bruno (1970), includes the "selection, analysis and presentation of data to facilitate optimun choices from among alternative future courses of action." Examples of techniques falling within the general rubric of the systems approach have been used to facilitate planning as defined above:

(a) Operations Research--emphasis is usually on probelms of recurring nature. It is a method of obtaining optimum solutions to problems in which relationships are specified and criteria for evaluating effectiveness are known (e.g. queuing theory; Leontief input-output analysis; linear programming with "constraint set"; dynamic programming). (see Churchman et al, 1957)

(b) PPBS--is a tool to display information, analyze costs of alternative programs and evaluate benefits (Gorham, 1967). The budget in this approach becomes a tool for planning rather then following the historical emphasis on the control function.

(c) Systems Analysis--involves the application of the scientific method to complex problems (Alkin and Bruno, 1970). Enthoven (1966) also described it as the art of defining of problems and designing alternative, feasible solutions.

(d) Management by Objectives--"a management process by which work is organized in terms of achieving specific objectives by set times". (Schruber and Sloan, 1970).

(e) Needs Assessment--the identification and documentation of the quantitative and/or qualitative extent of the discrepancies between "what is" and "what should be".

(f) Organization Development--applies behavorial science research to organizations to enhance the commitment and involvement of personnel for smoother and more effective system function.

(g) Network Analysis (including CPM and PERT)--a graphic representation of events, activities, time estimates, and their interrelationship--all coordinated in a logical pattern for the purpose of completing tasks necessary to attain a predetermined objective or set of objections.

(h) Futures Planning--through various tools and techniques (e.g., Delphi Scenaro, Cross Impact Matrix) this approach involves the projecting of futuristic events and developments.

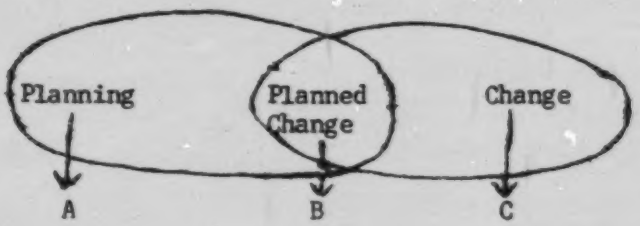
Planning and Change

Steiner (1969) observed that the value of planning is both in anticipating and bringing about change. Morphet, et al. (1971, p. 124) drew a bond between the two concepts by suggesting that

> To be effective, planning must relate to a desired and identifiable change. Change, to be effective, must relate to and be the result of a well-conceived and carefully considered plan.

They also pointed to the need for understanding "the relationships that exist between planning--the means--and the needed change--the end." (Morphet, et al., pp. 134-135)

Besides pointing to the ideal relationship between planning and change, there is also utility in drawing useful distinctions.



For example, there may very well be planning without change (A). Schaffer (1967) gave several examples of such planning which suffer from being unrealistic or simply not acted upon. Much planning, as well, has more to do with maintaining systems rather than changing them and should be considered in a different perspective.

We also know that much change is not planned (C). Educational institutions face changing student bodies due to unplanned population shifts, are affected by change in values in such social activities as child-rearing and family relationships, and a multitude of other changes in which they do not control the important variables causing change to be thrust upon them.

It becomes claar that "B", the overlapping area, is that area which planning and change come together. Planning in this area is the attempt at controlling key variables--those which educational institutions can, in fact, control--to bring about desired systems. The increased attention given to planning and the interest in employing some of the powerful planning technologies will hopefully expand this area--which at the present time appears quite small.

Characteristics of Planning

Given the number of potentially useful models for planning and the varying types and modes of planning, the question remains, "By what system can planning best be understood?"

A review of the literature suggests that a planning process could be assessed according to the following criteria:

(1) It would encourage change and improvement, (Morphet, et. al. 1971) and provide a perspective on the issues of continuity and change which Gardner (1963) suggested is needed to avoid the extreme of "dry rot" on the one hand and "fadism" on the other.

(2) It would facilitate the integration of the various parts of the system by providing focus on and agreement with courses of action decided upon. An important function of the planning process would be the creation of "supraorganzational goals" (Bennis & Slater, 1968).

(3) It would be a pedagogical tool which would result in greater knowledge of the organization, its purposes and its operation by the participants of the organization.

(4) It would inherently be a means of achieving accountability (Kaufman in Piele, et.al., 1970).

But even these criteria have to be tempered because planning is both rational and political, and as a consequence of the latter, must be somewhat institutionally idiosyncratic, depending upon the uniqueness

of the administrative style and operation, the tasks to be performed, and the setting in which the planning is to take place.

This assumption, that planning is institutionally idiosyncratic, suggests that a differenc set of variables or characteristics need to be discovered by which the differentiated notions of planning may be tested. In order to discover these, we sought out varying definitions of planning to determine those aspects which are unique within a given difinition.

(1) Alkin and Bruno (1970, p. 192) included in their definition of planning "selection, analysis and presentation of data to facilitate optimum choices among alternative future courses of action."

Identifiable characteristic--data base--decisions are based upon certain carefully assembled and analyzed information.

(2) Ewing (1968) saw planning as a method of guiding managers so that their decisions and actions affect the future of the organization in a consistent and rational manner and in a way desired by top management.

Identifiable characteristics--(a) Time Frame--planning is both present and future time oriented with particular emphasis on the future. Present time orientation relates mostly to intervention strategies and decisions while future time refers to the desired end products. (b) Locus of decision making--ultimate decisions are made by top management in Ewing's perspective.

(3) Morphet, Jesser and Ludker (1971) suggested that planning is basically a systematic process wherein it is possible to ascertain where we are, where we want to go and how we might get there.

Identifiable characteristics--(a) Frame of reference or mind-set--focus is upon conceptualized movement between a number of designated points. (b) Intervention--focus is upon the capability for controlling, influencing and shaping certain variables (things and people) toward achieving certain desired goals.

(4) Drucker (1959, p.240) pointed out that planning "is the continuous process of making present entrepreneureal (risk taking) decisions systematically and with the best possible knowledge of their futurity, organizing systematically the effects needed to carry out these decisions, and measuring the results of these decisions against the expectations through organized, systematic, feedback."

Identifiable characteristics--(a) a structure which is built into the organization which has identifiable pry-points for intervention and provides for an on-going and self reviewing process through some form of evaluation. (b) action orientation--taking risks in making the decisions necessary to make the system move and has identifiable means for seeking agreement upon purpose, agreed upon causes of action for implementation and machinery for implementation. (c) resources--for relating goals to actual behavior.

Objectives and Methodology of this Study

The general objective of this research was the building of a comprehensive conceptual framework upon which various models of educational planning could be identified, related, compared and classified. Presently, there are abundant material on educational planning accumulated at all levels from local to international. This study addresses itself to the apparent need of a theory of educational planning.

The emperical theory-building approach was generally applied. Based upon a research of literature, a first hypothetical framework was developed. This was then tested for validity. For this purpose the "Educational Planning Process Questionnaire" was constructed. (See Appendix).

Data was collected from 156 school districts in New York State. From the data, a profile of educational planning was constructed. An analysis of the profile was conducted to isolate at least four distinctive models of educational planning. This procedure was followed by

the development of four in-depth case studies of each model in operation. The original conceptual framework was refined and expanded based upon the data resulting from the survey and case studies.

The importance of this study lies in its development of a refined conceptual framework which can begin to serve as a language for the research of the diverse phenomena of planning processes by providing relationship and meaning to raw data thus far accumulated and by pointing to new and important areas of research. The educational importance lies in the empirical nature of the framework. It provides the student of educational administration an instrument to observe the various phenomena related to any planning process and to construct a perspective of that process. With the help of a conceptual framework the practicion in the field can begin to relate raw data into a meaningful picture of what is really going on in a systematic way. With the support of four major case studies of distinctive planning models the administrator may begin to chart his own course with better understanding and awareness of where that course would lead.

The Initial Conceptual Framework

From the review and analysis of the relevant literature the following characteristics were identified for study:

TARGET TIME
: Time designated in the plan for the achievement of the planned objectives e.g. short rante (1-2 years), medium range (3-4 years) and long range (5 years or more).

LOCUS OF RESPONSIBILITY:
: Identification of the highest level within the organization responsible for planning.

LOCUS AND PROCESS OF DECISION MAKING
: Identification of the highest level within the organization responsible for final decision making, and the process by which the decisions are made.

SCOPE OF PARTICIPATION:
Individual(s) and/or group(s) participating in the planning process, or population from which they are drawn.

TARGET GROUP(S)
Which people and how many people are to be affected by the plan e.g. certain groups of students, parents, teachers, etc.

RANGE OF CONTEXT:
What is to be affected by the plan e.g. total system vs. subsystem, total curriculum vs. mathematics curriculum.

POINT OF INITIATION:
The person, group or agency which initiates the planning process.

POINTS OF INTERVENTION:
Critical points along the planning process continuum where interventions of some kind are crucial to keeping the process moving.

PATTERN OF PARTICIPATION:
The sequence, scope and intensity of involvement by people and/or agencies along the process time line after the point of initiation.

SOURCE OF FUNDING:
Provision of financial support through external (e.g. state, federal, foundation) and/or internal (e.g. local school district) sources.

CONSULTANT'S ROLE:
Role played by individuals and agencies external to the local system in initiating, implementing, sustaining and giving definition to the local planning process.

Chapter II

Identification of Planning Models and Schools

The research design called for the identification of the various approaches to planning used in New York State and of the schools involved. A questionnaire was sent to all District Superintendents in the state (see Appendix). They were asked to identify the names of schools in their district involved in planning and the type of approach each was using.

Twenty-seven questionnaires were returned after one round of mailing, and eleven more after a second mailing. The final rate of response was 81%.

The questionnaire produced the names of 188 districts in the state judged by the Superintendents as having "made a conscious commitment in terms of time, effort, and/or money to planning". One hundred and fifty-six of these districts were surveyed through another questionnaire (Educational Planning Process Questionnaire), the results of which are reported in the next chapter.

Models of Planning

The frequency various models of planning appeared is given in Table I.

TABLE I

FREQUENCY OF PLANNING MODELS

Model	Number of Schools
Systems Analysis	22
American Management Association (A.M.A.)	21
Management by Objectives	21
Organization Development	15
Project Redesign	55
P. P. B. S.	27
**Other	67
*Total	228

*The total is greater than the number of schools identified (188) because a number were described as involved in 2 or more approaches.

**The category "Other" is so large due to the frequent occurrence of descriptions such as "planning as defined by the Regional Center (47), as well as isolated cases such as "institutional self-analysis" and "systematic long-range planning".

In Table II the models of planning are broken down by geographic areas in the state.

TABLE II

MODELS OF PLANNING BY GEOGRAPHIC AREA

Area	PPBS	Project Redesign	Organization Development	Management by Objectives	AMA	Systems Analysis	Other
(1) Long Island	15	18	1	0	2	21	4
(2) Downstate	6	5	2	17	0	0	16
(3) East, East Central, and Northeast	1	15	2	4	19	0	12
(4) Southwest and West	5	17	10	0	0	1	35

As Table II points out, only Project Redesign was spread throughout the state. That project was developed by the State Education Department and implemented mainly through its Regional Planning Centers.

The other models cluster in certain parts of the state. For example, 21 of the 22 districts identified as being involved with a system analysis approach to planning are located on Long Island. Organization Development was concentrated in the Southwest and West (10 of 15), American Management Association in the East, East Central, and Northeast (19 of 21), and Management by Objectives in the Downstate area (17 of 21).

Clearly, a pattern emerged. The pattern can be explained by several interrelated factors. The state had developed a network of regional agencies and had recently and strongly pushed for those agencies to help local districts improve their planning processes. But the network was decentralized. In most cases, the regional agencies turned to formal and informal contacts they had with area consulting firms and universities. In at least one case (the Organization Development approach) the regional agency developed its own thrust.

The regional agencies, in turn, had formal and informal links with school districts in their area. They had funds for training participants and providing consultants, as well as state encouragement that schools become involved in planning projects.

The pattern emerged not from conscious decisions by individual districts that certain approaches to planning best met their local needs. Instead, we would suggest the decision was influenced by (1) the decentralized state network; (2) the emphasis placed on planning by the state; (3) formal and informal linkages within each geographic area; and (4) simple local availability of resources to implement certain models of planning.

Chapter III

Survey of Schools Involved in Planning

The Educational Planning Process Questionnaire (EPPQ) was developed based upon the conceptual framework (see Appendix for a copy of the EPPQ). The questionnaire was sent to the Chief School Administrators of 156 schools.*

The Questionnaire

The seven page questionnaire was returned by 66 schools after one round of mailing and 43 more after a second round (see Appendix for correspondence). The final return rate was 69.9%. 34 of the 109 returns had checked "no" to the first question: "is a systematic and identifiable planning process occurring in your school district?" However, not all of the 34 had been incorrectly identified by our procedure. Over half (18) described themselves as either having been involved in a project in the past or just entering a program. After removing these 34 returns, 75 remained to be analyzed.

*This figure is less than the 188 schools identified in the questionnaire to District Superintendents due to two factors: (1) several school systems were identified using popular names and could not be easily located, and (2) in two cases all school systems in an area were listed as following the same regional approach and a randomized selection of one-third was used in each case.

The questionnaire was completed by the Chief School Administrator of the school system in most cases as shown in Table III.

TABLE III

PERSON COMPLETING EPPQ

Person	Number of Districts
Chief School Administrator	58
Other Central Office Personnel	14
Other	3
	75

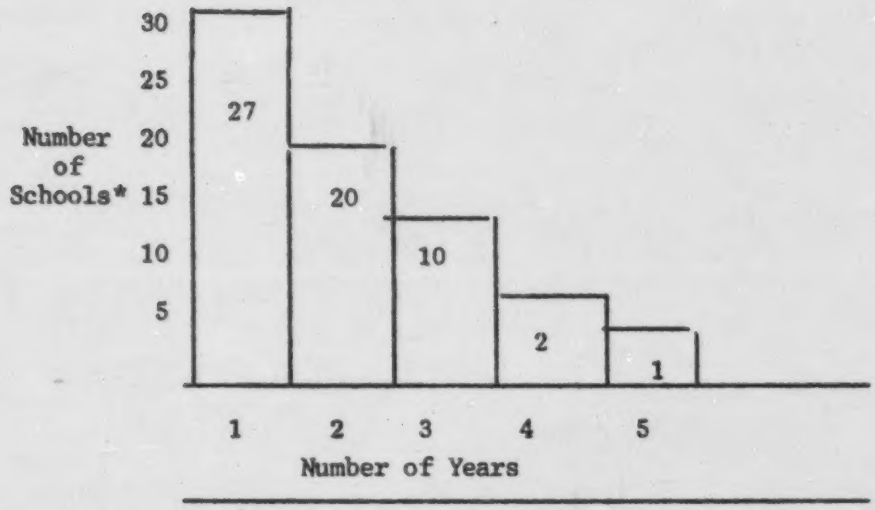
The questionnaire was deemed adequate in most cases. One question in the survey asked respondents if the "preceding questions adequately cover characteristics of the planning process in your district?" Sixty (80%) checked "yes". Of the fifteen (20%) that checked "no", 5 described their local efforts as "more informal than the questionnaire"; 4 described the EPPQ as too simple to cover local complexities; and 6 did not detail their reasons for checking "no".

Length of Time Involved in Planning

Systematic and identifiable planning was a relatively new phenomena, according to respondents.

TABLE IV

NUMBER OF YEARS INVOLVED IN THE PLANNING PROCESS



*12 of the 75 respondents did not answer this question and 3 others were not usable. Therefore, only 60 returns were available for analysis on this question.

The mean number of years involved was reported as 1.85, with a median of 2.00. As can be seen from the skewed distribution in Table IV, most schools involved in systematic planning were relative newcomers. Systematic planning was obviously an innovative activity, and in a vast majority of cases less than three years old.

Initiation and Responsibility

This new activity for school systems had to gain entry into the local system.

TABLE V

PERSON INITIATING THE PLANNING PROCESS

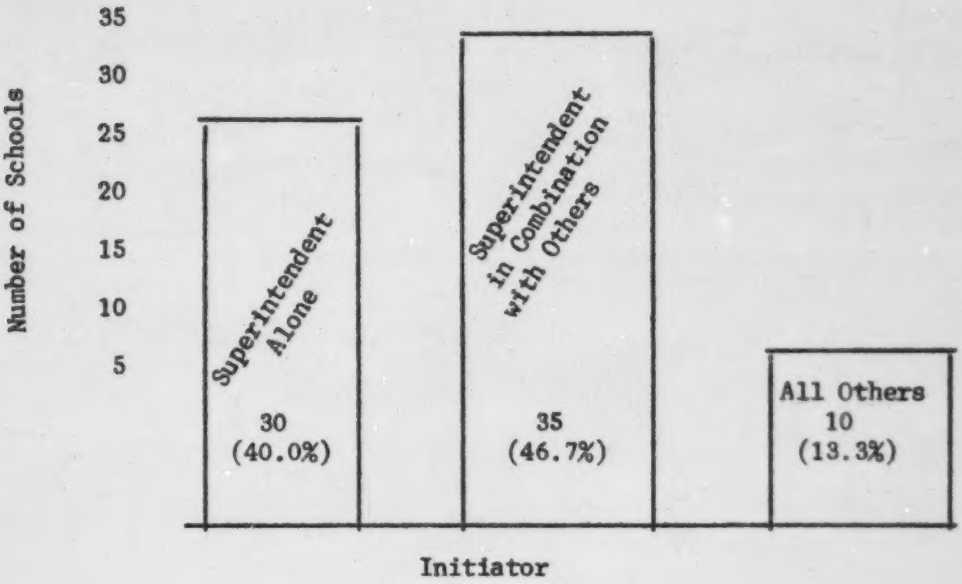
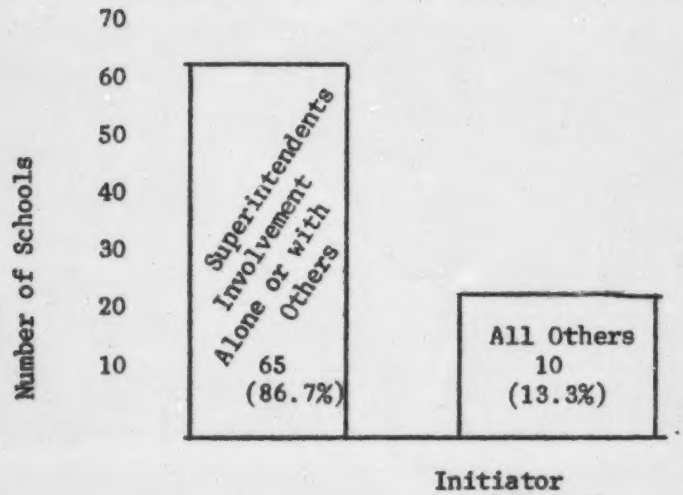


TABLE VI

SUPERINTENDENTS INVOLVEMENT IN INITIATION



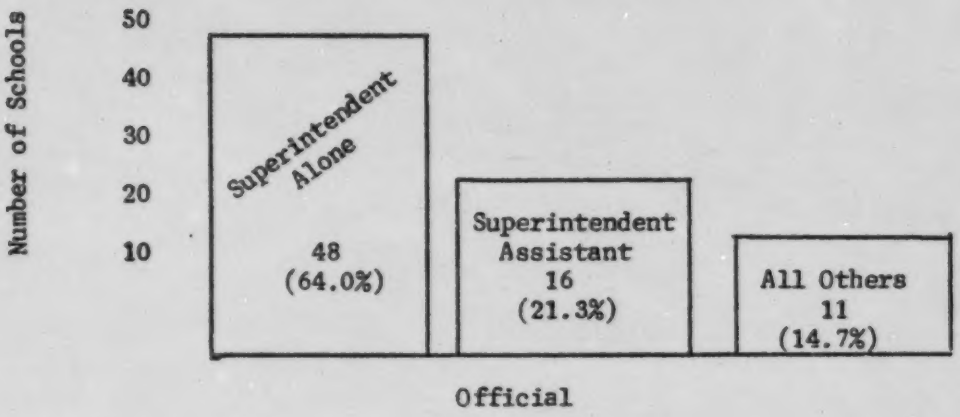
Both Tables V and VI suggest the important role played by the Superintendent in developing systematic planning in local school districts. He is the one involved in the initial contact with planning consultants from outside the system. He also is the one who usually sets up the initial structure of planning locally.

The "others" in Tables V and VI included the assistant superintendent in 4 cases; a building principal in 2 cases; the Board of Education in 3 cases; and an outside consultant in one case. Obviously, in the vast number of cases, planning is an activity which gains entry into local schools through the efforts of central office personnel, especially that of the Superintendent.

The Superintendent is also, in most cases, the official responsible for monitoring the planning process as it is used in the local school. However, other officials and groups also play a larger role in monitoring the planning than in its initiation.

TABLE VII

OFFICIAL RESPONSIBLE FOR MONITORING PLANNING PROCESS



The school leadership in the central office, especially the superintendent and, then, the assistant superintendent, are key figures in local planning. Initiation and the monitoring of the process are largely within their sphere of influence.

The Planning Consultants and Funding

The vital role of the superintendent and his central office staff was strongly suggested by the Tables above. However, individuals and agents external to the local system also played a vital role.

Chapter 2 suggested that the availability of regional agencies, including the possibility of funding assistance from those agencies, helped to determine the geographic clustering of the various approaches to planning. Data gathered through the EPPQ reinforce those beliefs.

Tables VIII, IX, and X which follow deal with the planning consultants used by local school systems and the source of funding drawn upon in that process.

TABLE VIII

UTILIZATION OF CONSULTANT IN PLANNING PROCESS

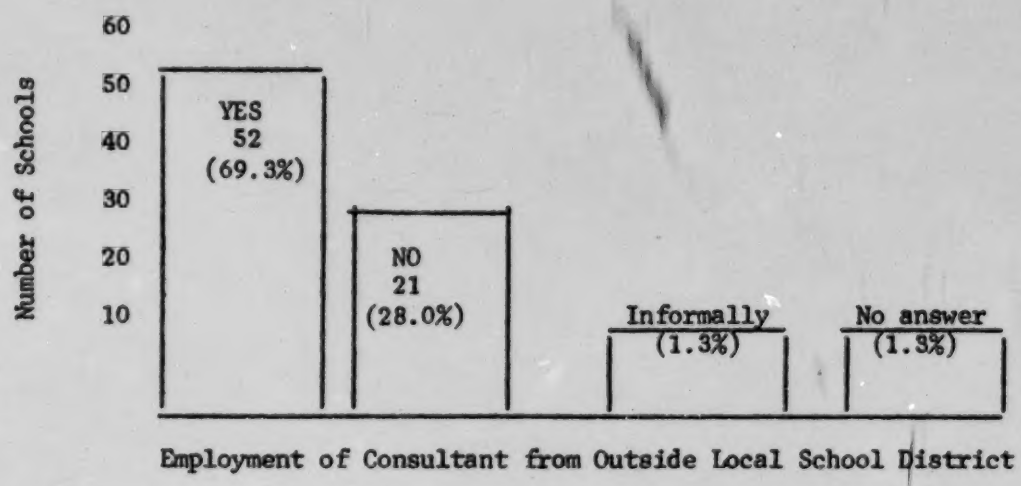


TABLE IX

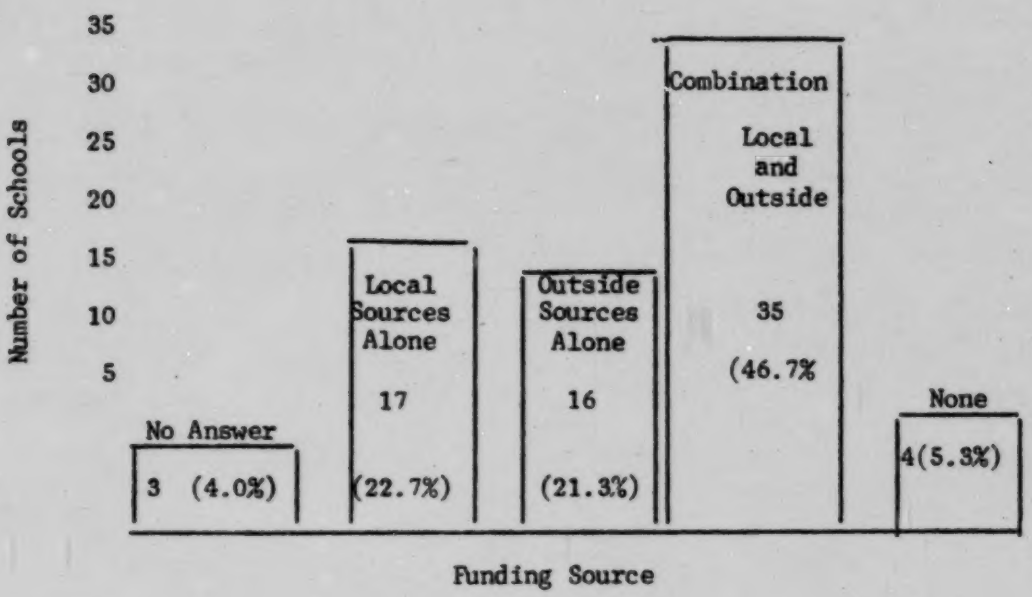
CONSULTANT GROUP USED

Group	Number of Districts
Regional Planning Center	27
Private Consultants (usually through Regional Centers)	19
Board of Educational Cooperation Services (BOECS)	17
State Education Department Consultants	15
University Consultants	13
Total*	91

*The total is larger than the 75 schools because several reported using more than one consultant group.

TABLE X

SOURCE OF FUNDING FOR PLANNING



Clearly, agencies external to the local school system are important in establishing systematic planning. Most school systems rely upon outside planning consultants (see Table VIII) and draw upon external funds either alone or in combination with local funds in order to implement the process (see Table X). Indeed, of those answering the questions on funding who expended funds in implementing planning, a full 75% used external funds alone or in combination with local resources. Most of the external consulting agencies used were either state supported or drawn upon through state agencies (see Table IX).

Involvement in Planning

The degree and pattern of involvement of groups and individuals is an important consideration as a system begins to systematically plan its future. The planning process itself can be viewed as an innovation. Like all innovations it must gain entry into the system, spread and diffuse within it, and gain legitimacy. Who is involved in planning and how they become involved are important factors.

Three patterns of involvement were reported by respondents to the EPPQ. The analysis is based on 70 questionnaires, as 3 did not answer this question and 2 were unclear.

The three "ideal type" patterns included:

(1) Professional Pattern (25.7%)--in these cases the process was used by the professional staff for planning, not as a means of including other groups such as parents, students or Board members. Typically, the pattern of involvement was from the Chief School Administrator, to the rest of the Central Office, to building level administrators, and to teachers. It is interesting to note that almost one-half of the schools reporting this model described themselves as involved with PPBS.

(2) Internal to External Pattern (47.1%)--in this pattern early involvement was exclusive to the professional staff, following the typical pattern of involvement described above. However, later phases were devoted to increasing the involvement of individuals from other representative groups. In an idealized form this pattern evolved as follows:

CSA and consultants,

then central office staff and/or
building administrators

then teachers and/or teachers unions

then Board, PTA, students and
community representatives

Specific variations within this idealized form were numerous. However, the common theme was the movement of involved groups from within the school systems (professional staff) out to non-professionals.

(3) Initial Wide Involvement Pattern (27.1%)—in these cases, planning was initiated by organizing groups and committees with representation from a wide variety of constituents. A variety of means was used to gain wide representation. For example, two districts reported dividing their districts into geographic areas and holding elections. A number of others asked established groups (e.g., PTA, Student Council, Teacher Union, Taxpayer Groups) to send a representative.

Characteristically, the organization for planning was initially complex, with steering committees, subcommittees, task groups and so forth. One characteristic which stood out in this pattern was the tendency for many of the districts to consolidate their planning structures as time went on.

The three patterns are shown in more condensed form in Table XI.

TABLE XI

PATTERN OF INVOLVEMENT

Type	Number of Districts	Percentage
(1) Professional Patterns	18	25.7%
(2) Internal to External Pattern	33	47.1%
(3) Initial Wide Involvement Pattern	19	27.1%
Total	70	99.9%

The above patterns of involvement suggest that the institution of a planning process is often related to the desire to create wider involvement within the school and community. Only 25.7% of the schools

used the process as an internal tool. Planning models, then, may well be viewed by school officials as a tool of involvement, as opposed, for example, to viewing it as essentially a tool for change.

The impact of the Project Redesign* seems to come through. An important element in that project was, indeed, the development of wide involvement in planning. Those schools which reported direct involvement in the redesign network tended to pile up in patterns 2 and 3.

The tendency to view planning and wide involvement as going hand-in-hand may also help explain the difficulty (reported in other sessions of the EPPQ) in gaining sustained communication, coordination, and cooperative relationships amongst diverse subgroups. The emphasis on wide involvement may intrude upon the planning models, asking them to accomplish tasks for which they were never designed.

The relationship between planning and involvement is also evident when examining the composition of the group which had overall responsibility for the planning process.

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*See Chapter V and VIII for a description of Project Redesign.

TABLE XII

USE OF NEW OR PREVIOUSLY ESTABLISHED GROUP

TO GIVE OVERALL DIRECTION TO PLANNING

Type of Group	Number of Schools	Percentage
New Group	33	44.0%
Previously Established Group	27	36.0%
Combination	5	6.7%
No Answer	10	13.3%
Totals	75	100.0%

The schools reported using previously established groups, e.g., an administrative cabinet, to give overall direction to planning almost as often as the establishment of new groups. The act of establishing a new group, however, seemed very much related to the desire to give more groups representation in the decision-making process. Tables XIII through XVI are based on 20 districts which reported using "new groups" and gave a detailed description of their composition and 24 which reported using "previously established groups" and also detailed their composition.

TABLE XIII

COMMUNITY REPRESENTATIVES ON TOP PLANNING GROUP

Type of Group	Number Including Community Representatives	Percentage
New Group	12	60.0%
Previously Established Group	3	12.5%

TABLE XIV

TEACHERS REPRESENTED ON TOP PLANNING GROUP

Type of Group	Number Including Teachers	Percentage
New Group	16	80.0%
Previously Established Group	7	29.2%

TABLE XV

STUDENTS REPRESENTED ON TOP PLANNING GROUP

Type of Group	Number Including Students	Percentage
New Group	6	30.0%
Previously Established Group	2	8.3%

TABLE XVI

ONLY BOARD MEMBERS AND ADMINISTRATORS ON TOP PLANNING GROUP

Type of Group	Number	Percentage
New Group	3	15.0%
Previously Established Group	16	66.7%

Tables XIII through XVI show that the establishment of a new group to monitor the planning process is systematically more likely to include a variety of representative groups. Table XVI suggests that the retention of a previously established group also means that planning will be dominated by a group composed only of Board members and/or administrators.

Planning Model Used

The questionnaire sent to District Superintendents asked them to identify the planning models used by schools in their area. The same question was asked of the Chief School Administrators.

Only 20 schools reported using one specific and identifiable model. The remainder reported a more eclectic view of planning and referred to local adaptations of more than one, and often several, models.

This suggests that the "purity" of the various models as seen from a distance—from the literature, the District Superintendent's Office, or by the planning consultants—had little reality for many of the school districts involved in planning.

This relatively straight-forward question, and several others, point to the institutionally idiosyncratic nature of planning at the local level. In similar manner, no pattern emerged on such variables as the time span involved in planning (e.g., short, medium, or long range) or time designated for implementation of objectives. Even districts working in a consortium with the same planning model greatly diverged on such variables.

Chapter IV

Problems in Educational Planning

This chapter describes problems associated with educational planning as experienced and observed by practitioners in the field. The research strongly suggests the need to infuse the planning literature and training programs with a much wider perspective than is currently the case.

Very few of the problems identified in this chapter can be described as related directly to the more formal, technical aspects of planning. Instead, people-related and organizational variables, which would be problems in any major change in normal activities of a system, created the major difficulties.

The "human side" of organizations is often ignored in the literature and in intervention strategies. Yet, it is this side of organizations which accounted for the major share of the problems described in this chapter.

Purpose

This segment of the research sought to identify the problems encountered in educational planning. The focus was school district level planning.

The approach was exploratory in nature due to the lack of adequate, prior research. As such, it provides a framework for future research. Also, it provides school leaders and planning consultants with initial insight into the typical problems associated with planning. The ability to anticipate typical problems in planning should help focus attention on the development of needed intervention strategies.

Data Generation

One part of the EPPQ dealt with problems in the planning process. Previous research had not provided sufficient knowledge to generate a range of possible responses. Therefore, an open question was used. Respondents were asked to list and explain the three major problems encountered by the district during the planning process. A full sheet of paper divided into three parts was provided for the responses.

Of the 75 questionnaires generated, 10 were unusable on this particular question. Although the question asked for the listing and explanation of the three major problems faced, not all respondents gave that number. 8 respondents gave one problem, 9 gave two, and 46 gave three problems. A total of 165 problem statements from 65 districts were available for analysis.

Content Analysis

The techniques employed to analyze these statements were derived from Cartwright (1953), and focused upon converting such statements into usuable data.

Two units of measurement were used. Each of the 165 problem statements was labeled as a "recording unit". Each school district was labeled as a "unit of enumeration". The latter unit was used to calculate percentages. Thus, quantitative statements could be made concerning the number of districts reporting a specific problem.

The statements were assigned to specific dimensions, or categories of problems mentioned. Initial attempts to categorize statements according to our original conceptual framework were partially successful. Dimensions also grew out of conscious attempts to fit the statements themselves as they tended to cluster around certain points. Above all the integrity of the statements made by the respondents was guarded.

Dimensions were defined as specifically as possible. "Ideal types" were described and then attempts were made to specify the boundaries, or acceptable limits for each dimension. As Cartwright pointed out, it is at the boundaries rather than at the core meanings, that precision in coding judgement varies (Cartwright, 1953, p. 438).

Limitations

The approach has several limitations. Most important is it's exploratory nature. Several dimensions were produced post factum. Therefore, this chapter should be viewed as suggestive and instructive rather than conclusive.

The analysis was based only on the statements provided by one respondent per district. In almost all cases this was the CSA. Other perceptions of the problems encountered are not accounted for in the study. Finally, participants in an activity are not the only source--and in some ways not always the best source--for accurate descriptions of that activity. They are a source, and a valuable one. The reader, then, should remember the study's dependence upon only one source, the fact that the source was an active, partisan leader in the planning process, and the essentially post hoc nature of the study.

TABLE XVII

PROBLEMS IN PLANNING

Dimension	#of School Districts	%of Total (65)
-Gaining Commitment to Planning and Change	26	40.0%
-Time	20	30.8%
-Gaining Commitment to the Specific Planning Process	17	26.2%
-Dealing with Interface Issues	16	24.6%
-Communication and Coordination	16	24.6%
-Difficulties of Technical Nature	16	24.6%
-Initial Organization for Planning	10	15.4%
-Determining the Range of Context and Time Frame of the Planning	10	15.4%
-Keeping the Planning Moving	8	12.3%
-Funding	7	10.8%
-Other	5	7.7%
	151*	

*The total "# of School Districts" is less than the 165 problem statements because the enumeration unit was considered the school rather than the statement.

Explanation of Dimensions

Each of the dimensions will be explained in this section. Representative statements made by respondents will be quoted to convey the core meaning of each dimension as set up in the coding procedure. Also the number of school districts (unit of enumeration) and percentage of the total will be given. For the readers information, the number of instances (recording unit) that the specific dimension was mentioned by respondents will also be given.

It should be noted that each respondent was asked for only three major problems. Through this prioritizing process respondents, of necessity, had to omit other problems encountered which did not rank with the top three. Thus, it is possible that any one of the districts faced more than three-or all-of the problems mentioned below.

Problem: Gaining Commitment to Planning and Change

- "Arousing the community. Creating an awareness of the need for planning. There is a general assumption that things are O.K. except for superficial things such as space and student behavior."

- "Changing attitudes of many persons whose contentment with the status quo means failure to meet adequately the needs of the contemporary school population - overcoming the provincial outlook of staff and clients."

- "How to get involvement..."; "generating concern on the part of the staff..."; "overcoming teacher indifference ..."

School Districts	26	40.0%
# of Instances	31	

How do you overcome indifference, tradition, and apathy? How do you motivate people to become involved in the planning of the future design of the school district? These two questions represent component parts of the problem mentioned most frequently by respondents.

Classified under this dimension were all statements describing problems of an attitudinal nature faced by districts as they tried to institute systematic planning. The dimension might, instead, be called "overcoming passive resistance". Cases of active resistance were classified elsewhere, as were difficulties of gaining commitment to the particular approach to planning utilized by the district.

Of the 31 instances given by the respondents, 11 specifically identified the community as lacking in commitment to planning and change; 9 identified teachers, 1 the school board, and 10 were general statements which did not specifically identify any one group.

Problem: Time

> "Time...we had a real good start here with our adaptation of the American Management Association planning process but have bogged down of late. Too much to do--no time--the familiar litany".

School Districts	20	30.8%
# of Instances	21	

All statements relating the lack of sufficient time to planning activities were classified under this dimension.

Time is a resource allocated by systems. Systematic planning involves the use of this resource in new ways. Time must be allocated for the training of participants, for the coordination of activities, for meetings, and the like.

However, planning must compete with other, more established activities within the system. Many observers have noted the lack of sustained, purposeful interaction among the adult participants in the school setting. Scheduling, work loads, and the normative structure of schools tend to give low priority to such interaction.

Problem: Gaining Commitment to the Specific Planning Process

- "there are those who want an elaborate planning structure vs. those who do not want any structure."
- "the early planning teams, and to a certain extent even now, do not accept the systems approach to planning."
- "failure ... to accept the planning council."

School Districts	17	26.2%
# of Instances	18	

The introduction of a formal planning process entails the acceptance of new processes and procedures. Like any innovation, successful implementation of a planning model depends upon the commitment generated within the system.

Two types of statements were classified under this dimension. One type included those statements referring to the problem of gaining commitment to the formal steps mandated by the planning model. This type accounted for statements of 9 of the 17 districts. The other type, which is related, referred to the gaining of acceptance of the organizational structure instituted to facilitate planning. Examples of such structures would include planning teams, steering committees, and so forth.

Problem: Dealing with Interface Issues

- "Relationship of the Teachers' Organization representatives to other units of the planning council. Equal partnership concept is being challenged. Final authority role of the Board of Education also being challenged."

- "dealing with the crippling effects of a diverse and representative steering committee, whose varied philosophies cancel each other."

School Districts	16	24.6%
# of Instances	20	

Interface issues are defined as those conflictual issues which arise as district groups attempt or are forced to develop a working relationship--or interface--with other groups. The concept is based in the idea of territoriality and in the socio-political differences existent in sub-groups of complex systems.

All statements referring to difficulties between or among identifiable groups were classified under this dimension.

The planning process brings together and requires the co-operation of diverse groups. Prior, unresolved interface problems between and among groups hampers this process. Further, unresolved interface problems may be exacerbated by the process. Old conflicts, the bringing together of diverse groups, and the very political nature of planning provide fertile grounds for inter-group conflict.

Problem: Communication and Coordination

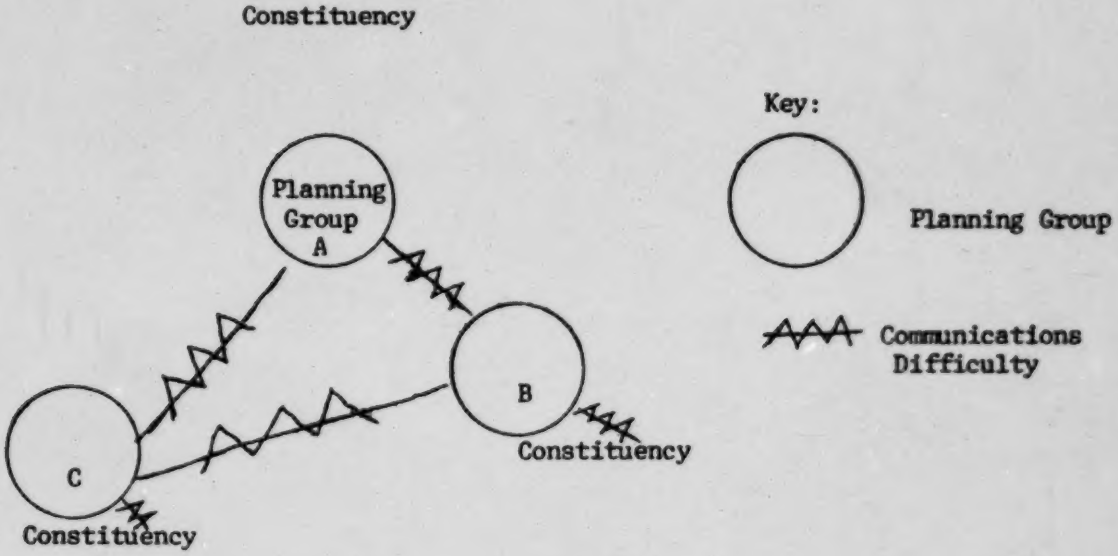
- "Communication amongst planning groups."
- "Communications. Getting representatives to advise and consult with their constituencies."
- "Coordination of 8-10 sub-committees."
- "Coordination. The schools appear to be moving faster than the community planning groups. As they attempt long range planning, the schools are already instituting flexible modular scheduling, open classrooms, etc."

School Districts	16	24.6%
# of Instances	18	

Classified here are all statements describing difficulties in communicating with and coordinating the various component groups set up to engage in planning.

The introduction of a formal planning process means the formation of new groups and committees, the introduction of new participants, and, in general, more organizational complexity. As new participants enter, and new groups form and subdivide the need for communication increases. Also, planning uses and produces data which need to be communicated within the system. The creation of a planning network also increases the need for coordination. The usual hierarchial pattern of communication and coordination seems ill-suited for these tasks.

The communications component of the problem was (1) among existing planning groups and (2) between the particular planning groups and their constituencies. These distinctive communications problems are displayed below:



The coordination component was conceptually similar and often referred to in the same statement with the communication component. The problem as observed by respondents may be paraphrased: the existence of several planning committees and the lack of constant interchange among them has produced the unanticipated problem of coordinating their various activities into some general direction acceptable to all.

Problem: Difficulties of a Technical Nature

- "difficulties in the clarification of objectives and evaluation procedures."

- "the development of human resources:
  a) ability to do needs assessment;
  b) ability to write goals and objectives;
  c) ability to establish evaluation techniques;
  d) administrative ability to work with planning committees on these."

School Districts	16	24.6%
# of Instances	16	

Most approaches to planning place more demands upon the school district. Planning models have specific, formal procedures. Often they demand the generation of a mass of data regarding the district; the development of skills required to do needs assessment; the development and quantification of objectives; the introduction of new evaluative procedures; and a new semantic and conceptual base.

Such demands are of a technical nature. They can, conceptually at least, be differentiated from attitudinal demands placed upon participants such as a future time orientation. Typically, these demands are of a type usually not associated with operation of the schools. All statements describing problems coping with the technical demands of the formal planning process were categorized here.

The generation of needed data was cited by 5 of the 16 as the major difficulty, e.g., "gathering input date"; "district data...", "gathering and improving financial and instructional data through research, codification, and record keeping for planning purposes." 4 of the 16 found the development of evaluation techniques as the major difficulty, e.g., "need for evaluation expertise..."; determining

how we know when objectives are reached." Other difficulties were described as "technological instrumentation of the planning process", problems with computers, the semantics of the process, and the elaborate nature of the planning process as initially amplemented. The other 3 made statements similar to the one at the head of this section which mentioned all or most of these difficulties.

Problem: Initial Organization for Planning

- "Getting a diverse and representaiive steering committee to guide the project".
- "Provision of an outside facilitator of the planning activities.
- "Committee organization..."; "Selecting committees..."; "General organization for project to begin".

School Districts	10	15.4%
# of Instances	10	

The initial organization for planning refers to those steps taken prior to the actual establishment of the planning process within the system. Under this dimension are classified all statements describing problems of an organizational nature as a district sets up the apparatus for planning.

The introduction to a planning process, which is typically system wide and innovative in nature requires careful forethought. The procedures used to select personnel and the impact of initial training sessions could well determine the eventual fate of the activity. This sensitive process has political as well as organizational implications. Descriptions and evaluation of various entry strategies are very much needed.

Problem: Determining the Range of Context and Time Frame

- "naming of priorities"
- "reaching agreement on the scope and areas we should plan for."
- "focusing attention of groups on a manageable number of significant issues."
- "keeping interest stimulated and still focus on long range issues. Provision of short term, interim successes to give "ownership" is needed, but real planning must account for the long run. A real dilemma."

School Districts	10	15.4%
# of Instances	11	

A determination must be made as to what will be affected by planning, e.g., total system vs. subsystem(s), curriculum vs. budget, etc. This type of decision is defined as the determination of the "range of context". Further, the basis upon which planning is conducted must consider the time frame to be accounted for e.g. short, medium or long-range planning. These are conceptually distinct but very related factors in planning. Thus, the range of context may be the k-12 reading program, with a medium range (2-4 years) time frame for total plan implementation.

Problem: Keeping the Planning Process Moving

- "verbiage has become greater than action".
- "citizens committee has bogged down".
- "Face--lack of accomplishment".
- "tended to bog down during the process of defining goals and philosophies".

School Districts	8	12.3%
# of Instances	8	

Under this dimension were classified all statements referring to the difficulty of sustaining the productive outputs of planning groups--or, in reverse, keeping the planning processes from "bogging down".

Chronologically, this difficulty would become evident after the planning model had been introduced, groups formed, and planning meetings held. At some point "pay-off" would be expected in the form of recommendations or program implementation.

In other parts of the research we found, as might be expected, that the CSA is typically responsible for initiating and then monitoring the planning process. School leaders mentioning this problem must be faced with a gap between original expectations and actual pay-off.

Clearly, intervention strategies are called for. More needs to be known concerning the reasons for the "bogging down". It may be related to other dimensions (commitment, interface issue, time...). Or it may be related to what Schaffer (1967) described as the almost natural difficulty of "putting action into planning". His solution was

to move from the simple to the complex and from short to long range planning as means of relating action to planning; and as a means of building the skills and attitudes needed for "action" planning.

Problem: Funding

- "compensation for participants..."
- "Money"
- "adequate financing for planning to take place."

School Districts	7	10.8%
# of Instances	7	

All statements which related funding problems to the planning process were listed under this dimension.

The movement of a district into planning requires the re-allocation of funds or the flow of new funds. In other phases of the research we found that only 4 of 75 districts involved in planning reported using "no funds" in the process. Funding is typically needed for consultants, training of participants, extra compensation, eventual implementation of program plans, and so forth.

Like the dimension "Time", funds for planning and implementation of new plans must compete with other, more established activities within the system. The fact that only 7 of the 65 districts mentioned funding as among the top three problems may be surprising in light of the budget difficulties usually proclaimed by educators and the relative newness of this activity. However, other factors may be involved that are not evident at first glance. In other parts of the survey we found that approximately 2/3's of our sample districts

relied on outside funds (regional, state, national or foundations) either completely or in combination with limited local funds. Also, consultants were usually drawn from such agencies at no cost to the local district. The importance of outside influences in stimulating local planning should not be overlooked, and does help to explain the relatively lower priority given this dimension.

Problem: Other

School Districts	5	7.7%
# of Instances	5	

Several responses were left unclassified. They ranged from the unique to the undiscernable. One CSA of a district located off the coast of Long Island listed his major difficulty as "the geographic location of our island." However, he reported a solution had been found: -- "purchase of an aircraft".

One saw the lack of written policy as a major problem. Another reported the personal dilemma faced in choosing between the role of change agent or the stimulator and guide for the process of change in planning. He reported: "we are unprepared to deal with it because we do not have the training". The other two responses were unclear.

Discussion and Implications

A review of the planning literature and training programs reveals several key characteristics typically associated with that process. One set of characteristics, in the Weberian sense, includes the drive toward increased rationalization of behavior. Planning models have been constructed which require users to base decisions upon data; develop and display goals and objectives in quantitative terms; explore alternatives in an objective manner; and systematically relate actual behavior to predetermined goals and objectives. It has been our observation that this set of characteristics receives the greater emphasis in the current educational planning literature and programs.

We submit that there is a second set of characteristics, more often implicit and underplayed, and sometimes completely ignored. This set may be more important for educators to consider as they move into planning programs. It provides a humanistic balance to the above set. The act of planning implies a frame of reference which is optimistic about the ability of man to control the important variables which shape the future. It is an activity which stresses the continuing need to change to meet new conditions, and better cope with old conditions. It is also a pedagogical tool of the first order. The process ideally involves system and subsystem introspection and integration. Finally, a continuous planning process should provide a perspective on the issues of continuity and change. This perspective is needed to avoid what Gardner (1963) refers to as the extremes of "dry rot" on one hand and "fadism" on the other.

Neither set of characteristics is typically found in the school setting according to much of the literature describing the institution. Given this literature it would indeed be surprising if the task of introducing and utilizing a planning model was a simple matter. Rather, we should expect that this type of innovation would be most difficult.

Often the result is little more than an enlarged gap between expectations and delivery. However, little attention has been given the process by which the typical school organization can be transformed into one oriented toward the future in a systematic way.

The dimensions identified in this study provide some clues as to the difficulties encountered in making that transformation. Both internal and external interventionists would do well to consider these dimensions as they develop strategies for introducing systematic, system-wide planning in the schools.

The dimensions are seemingly highly interrelated. For example, the problem-dimension Time is probably a function of the two dimensions concerning commitment. Therefore, efforts to cope with the problems identified in this study might better be conceived of as more comprehensive strategies which deal with several dimensions at once.

Three problem-areas will be explored in the remainder of this chapter: (1) entry, (2) diffusion, and (3) new skills and organizational abilities needed by school leaders. These three were selected because they appear to account for many of the problems encountered in our research. There is also an implicit message in the following discussion. The current literature on planning is weak in conceptual and theoretical underpinnings. That weakness may be ameliorated by incorporating organizational, decision-making and social-psychological theories.

Problem-Area: Entry

Entry strategies must be developed more adequately. As many of the above dimensions show, the participants in the school organization are not necessarily waiting eagerly for the introduction of the processes and procedures--or the institutional frame of reference--associated with planning. The technologies of planning, themselves, cannot be expected to carry the burden of the lack of commitment on the part of participants.

Behaviors of the type associated with planning represent a sharp departure from traditional school system behaviors. Attention needs to be focused upon organizational variables at variance with intended goals.

Levine, et. al., (1972) suggest that planning models (PPBS in their example) should be combined with Organizational Development (OD) activitees. They hypothesize that OD methods will help insure the successful introduction of planning by generating greater system commitment, gaining wide involvement, building a climate of trust, and facilitating the development

of cooperative interface relationships between and among subsystems (Levine, et. al., 1972, pp. 21-22).

The paradigm they developed is based on the assumption that "people-related" and organizational variables provide the key points of resistance in attempts to implement planning. Several dimensions identified in our study tend to confirm their assumption.

This is not, necessarily, a call for the use of OD methods during the introduction of a planning model--although this has great promise. Rather, it is a call for more examination of entry strategies and organizational variables associated with planning. More research is needed comparing various approaches. The literature on planning must be expanded beyoud the current emphasis on the technologies of the process itself.

Problem-Area: Diffusion

The process of diffusion of the planning model--whether it is a given "package" or a generalized change and future oriented perspective--also deserves more careful attention.

Schaffer (1967) described two contrasting approaches. The first approach is based on a very logical system of thought: one should begin with the development of system-wide mission statements and long-range planning. Then as logic dictates, the organization moves on to strategic and then operational planning. However, as Schaffer noted, the logic of the approach may well be at odds with the reality of this situation. For an organization which is poor in planning or has had little experience with it, this very logical approach requires the most difficult, comprehensive, and precarious planning to be encountered first.

Schaffer suggested the use of a second, more developmental, model for the introduction and diffusion of planning. In this approach the more urgent, shorter range problems in the system are subjected to the planning approach. Besides dealing with those problems, the idea behind this approach is to provide a "hands-on" method for teaching the necessary planning skills. Schaffer hypothesized that the approach

would also generate greater confidence and commitment on the part of participants toward the techniques and perspectives needed in planning.

Almost all of the schools included in the present study opted for the first approach. Perhaps alternative approaches were unknown to them. We do not have data at present comparing the two approaches or various combinations of the two. Studies are needed. However, Schaffer, in his studies of planning in the private sector, concluded that the second approach dealt with problems very similar to several identified in the present study. We need the development of a more solid conceptual base for the implementation and diffusion of planning, followed by solid research on the various approaches developed.

Problem-Area: New Skills and Organizational Abilities

Finally, as several dimensions demonstrate, planning requires the development of new skills on the part of school leaders. Some are more obvious and are directly related to rational planning models, e.g. ability to do needs assessment, objectification of goals, and development of evaluative designs. Other skills, more often slighted in the planning literature and training programs, are more closely associated with organizational and administrative abilities.

For example, the data suggest the paradoxical situation where planning, meant to increase integration within a system, actually resulted in Communication and Coordination problems. The proliferation of planning groups in subsystems was seemingly not matched by concomitant development of organizational integrative techniques. New structures need to be initiated to cope with this problem. Likert's (1967) "linking pin" pattern of organization is one model of integration which deserves consideration and experimentation in confronting this planning problem (and indirectly other dimensions, such as Time). Such an organizational structure would be characterized by multiple and overlapping groups, with linkages provided by group membership in more than one planning group. Decentralization of authority to such groups, as well as system-wide reference in problem-solving are also reflected in the model.

Summary

This chapter identified a number of problems in planning encountered by practitioners in the field. Only a few of the problems were directly related to the technical aspects of planning. Most dealt with people-related and organizational variables which would impede any innovation. Seldom are these problems explored in the planning literature or training programs.

Educational planning is in the infancy period. A great deal more experimentation and research is needed. The current literature on planning, in education and other sectors, is conceptually and theoretically weak. However, solid research from other fields exist which can be incorporated.

The three problem-areas briefly explored in the preceding section were meant mainly to suggest the types of experimentation and research needed in the future.

Advocates of various models of planning have promised a great deal to educators. Unless problems of the type tentatively identified here are considered and confronted the impact of the process may well be minimal.

Chapter V

The Four Case Studies:

Rationale and Methodology

The next four chapters present case studies of school districts involved in educational planning. The case study approach allowed the use of a great deal of descriptive data and captured the dynamics of behavior over a long period of time. It was an appropriate tool for conducting exploratory research and uncovering relationships existing amongst variables. The case studies provided another means of testing the conceptual framework. They also provided a balance to the survey type data reported elsewhere in this study.

Selection of School Districts

The four school districts were selected by a two step process. First, the researchers examined the frequency of appearance of various models of planning in the two basic questionnaires.[1] Four models were selected: (1) PPBS; (2) American Management Association; (3) New York State's Project Redesign; and (4) Organization Development. Each model appeared with high frequency amongst schools involved in planning. Also, they represented recognizable approaches to planning, with each having characteristics distinct from the other three.

In the second step, individual districts were selected from within each of the four models. The districts selected for study met three criteria: (1) two or more years involvement with the planning model, (2) a reputation for successful implementation of the process as judged by consultants working with them, and (3) a willingness to cooperate with the researchers. The four districts were selected and contacted. Each readily agreed to participate in the research.

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[1]The Educational Planning Process Questionnaire (EPPQ) and the District Superintendent Questionnaire.

Data Collection

The researchers relied upon two methods of collecting data for the case studies: (1) interviewing, and (2) examination of available written documents.

A non-structured, focused interview procedure was used (see Merton, et. al., 1956). The procedure was flexible and permitted open-ended questions and responses. An interview schedule was developed, and then refined during the research phase (see Appendix for the Interview Schedule). Specific questions in the schedule were developed based upon the conceptual framework.

The interviewing process began with school leaders, i.e., superintendent and principal(s). They were asked to suggest names of others involved during the course of the interview. These leads, in turn, led the researchers to new sources. An effort was also made to include sub-systems within the district which might provide differing perpectives, e.g., leaders of teachers' organizations and community leaders. Outside planning consultants to the local district were also interviewed. Brief notes taken during the interviews were used to write up detailed descriptions of the sessions. These were then used in the writing of each case.

A variety of written documents were drawn upon in developing the case studies. Background information on the communities and school districts were readily available from the U.S. Census, local newspapers, and official school documents. Documents were also collected which described the planning process used by each district. Detailed documentation existed in all four cases which had been developed by consultants and local school officials and gave historical accounts of the steps taken by the local districts.

The interviews and documents provided a rich source of data. The four cases were written based upon these data using pseudonyms for individuals, place names, and some documents.

The Four Models of Planning

The characteristics of each of the four models selected for in-depth case study will be explored in the next four chapters. Although they share many characteristics, each model has distinctive features.

PPBS is an approach designed to provide quality information in the budgeting and programming functions. It ideally provides decision-makers with information regarding the efficiency and effectiveness of alternative approaches to organizational programs.

Organization Development (OD) is a process designed to bring about change in organizations by integrating personal needs with organizational goals. OD for schools has a history of research and development of less than ten years. It rests on a basic set of assumptions with major emphasis on the importance of trust, openness, spontaneity, participation and personal commitment.

The American Management Association (AMA) approach is focused upon the development of a long-range, comprehensive plan and the generation of a collective frame of mind for the implementation of the plan. The target group is usually the top echelon and the process includes off-site training sessions and strong interventions by the consultants in the planning process.

New York State's Project Redesign is an attempt to (1) stimulate planning and change in local districts and (2) develop wide participation in that planning. The Project included the development of four "lighthouse" districts and several dozen "secondary network" districts to serve as models within the state.

Chapter VI

Saxton Central School District: A Case Study of a PPBS Model

Background

A 1954 reorganization of several small school districts produced Saxton Central School. The former small districts had grown quickly during the late 40's and early 50's resulting in strong pressures for building programs and occasioning reorganization. The Saxton district sprawls geographically over 90-square miles and serves as a bedroom area for a large industrial city.

Approximately 4300 students are enrolled in the school district. Most of these attend school on "the campus" located on former farm land several miles from any population center. All students are bused.

On the campus are located three buildings. The 9-12 Senior High School was built in 1966 and houses 1300 students. About 60% of the high school graduates go on to either a two or four year college. The Middle School, which was formerly the high school, enrolls 950 students and was built in 1955. The one elementary school on campus was built in 1955 and added to in 1965. 750 students are housed in this building.

The three other elementary buildings are located in other parts of the district. One was built in the 1940's and added to in 1968, and accommodates 310 students K-5. The second was built in 1957 with an addition in 1968. It enrolls 650 students K-3. The third was built in 1957 and houses 325 in K-5. An addition was built in 1967.

The district has a professional staff of approximately 220--11 of whom are administrators. The central office is composed of the Superintendent, the Assistant Superintendent and the School Business Manager.

The voters of the district had defeated the proposed budget for two consecutive years. However, the budget for 1972-73 was passed in a close election. Schoolmen considered the passage a major victory.

The community encompassed by the Saxton School District has no major population center. Instead, there are several villages each containing several hundred people, several isolated housing tracts, and many housing units built off country roads. All are within easy commuting distance of a large industrial city.

The community is almost totally white. The school has only 3 Blacks and 5 children of Oriental decent.

Only one small industry is located within the boundaries of the district and it employs fewer than 50 people. Consequently, the local tax on real estate is shouldered almost completely by residential property.

The community has a range of socio-economic types. Several of the housing developments are noticeably middle and upper middle class. However, the area has a heavy concentration of skilled blue collar workers who commute into the metropolitan area for employment.

The post-war spurt in population has leveled off in the area, although the area is still growing. The initial building program after reorganization proved to be insufficient. The new building in 1966 and the number of additions built onto existing structures has alleviated some of the problem but schoolmen still strongly feel the need for more space.

The financial strain felt within the district, and a series of budget defeats followed by program cutting played an important role in the district's movement toward the PPBS approach.

Initiation

The superintendent during the 1969-70 school year was Dr. Joseph Wolfer. He planned to retire at the end of the year after 10 years of service in the district. During his final months on the job he took the initial steps necessary to include Saxton in a project designed to introduce PPBS into 5 area school districts.

The project was the result of the ESEA Title III proposal written by an area university professor. The objective of the project was to

develop a network of 5 schools to serve as prototypes for the introduction and utilization of PPBS.

According to several people associated with the superintendent, his actions were in direct response to two factors:

1) the formal and informal contacts initiated by the Regional PPBS Project personnel and associated University faculty; and

2) the series of budget difficulties faced by the district and the call for greater "accountability" voiced locally as well as nationally.

Dr. Wolfer met with Dr. William Hackman soon after the latter had been hired as superintendent. Dr. Hackman, who had previous, although limited, experience with PPBS gave strong support to the project. They agreed that Dr. Wolfer, in the remaining weeks of his tenure, should attempt to gain Board support for the project and formally join the PPBS project. Both tasks were accomplished. However, Dr. Wolfer left all considerations of organizing and implementing the program for his successor.

Dr. Hackman arrived at Saxton on July 1, 1970. Soon after his arrival he was informed of a one week summer workshop to be offered by the Regional PPBS Project.

The workshop was being offered to representatives of the 5 participating schools and was designed to introduce a core group from each school to PPBS at the conceptual level. The workshop was also intended to create linkages between the schools and stimulate each school's efforts toward taking necessary steps to implement the process. The workshop was financed by the Title III grant and organized by the Regional Project group.

Dr. Hackman contacted the president of the local teachers organization. According to the former local teacher's union president:

> I hadn't heard of the PPBS Project until that meeting with Dr. Hackman. He explained the project very generally to me and asked if I would be interested in investigating it more with him. Together we selected four other teachers to attend the workshop.

The superintendent reported that he felt teachers' support of such an undertaking was of utmost importance. He made the decision to work through the local union, a group, he had been informed, which was very strong.

The general feeling of the teachers was reflected in the current union president's comment that "Dr. Hackman worked with us right from the beginning...he's had the support of the organization and a number of key teachers right from the beginning." One of the teachers attending the workshop was quick to note that "all the other schools brought only their 'big guns' while we brought only the important people--the teachers."

The superintendent and the five teachers attended the workshop during a one week period in August. The first three days were devoted to the development of a conceptual understanding of PPBS. Time was also spent discussing the conceptual model of implementation and particular problems and approaches to instructional applications of the system. Most of the final two days were spent discussing implementation in each of the schools represented. The Saxton group, following the recommendations of the consultants, decided to form a PPBS Task Force to oversee the implementation.

The composition of the Task Force paralleled the suggestions of the Regional PPBS Project group. The Saxton group consequently recommended to their Board of Education the creation of a Task Force which would include:

1) the Superintendent,

2) Assistant Superintendent,

3) a teacher from the elementary, Middle School, and High School selected by the local teachers union.

4) the Senior High and Middle School principals, and one elementary principal.

5) one Board member selected by the Board, and

6) two community representatives selected by the Superintendent and Board.

The dual charge to the Task Force was that of overseeing the implementation of the PPBS process within the school and giving overall direction to district-wide planning.

The summer conference also resulted in the addition to the administrative staff of a key person who would eventually be mainly responsible for the operationalization of the PPBS approach. At the time of the conference one of the individuals who had worked closely with the project director in writing the original proposal held a position at another of the participating schools. He also conducted one of the training sessions at the workshop and had been a graduate assistant very much involved in developing the conceptual model upon which the project was based. Dr. Hackman and this individual, Dr. David Clarke, talked informally concerning the openning for an Assistant Superintendent at Saxton. Dr. Hackman reported being "highly impressed by Dr. Clarke's presentation and in need of a person with a 'nuts and bolts' understanding of PPBS at the operational level". Dr. Clarke eventullly accepted the position effective October 1, 1970.

As the school opened in September, 1970, the district had taken initial steps toward eventual implementation of PPBS. Board approval had been obtained. The system had agreed to participate in the program developed by the Regional PPBS Project and consequently could draw upon that Project's resources and expertise. An administrative team knowledgeable in and committed to the concept had been put together. Support from the strong, local teachers' organization--at least, at this point, from the organization's leaders--was facilitated by the close relationship established early by the new superintendent. Finally, the PPBS Task Force was developed and given its mission.

The initiation process, according to key participants was the result of several factors. Both formal and informal contacts between district personnel and the outside consulting system stimulated interest in PPBS. The existence of consulting assistance and possible involvement in a funded project also provided stimulation. Calls for "accountability" on a wider scale as well as locally, and a series of budget difficulties were also cited by participants as environmental consideration. Finally, both the former and current superintendent saw merit in this approach to educational planning and provided the means and leadership necessary for implementation.

Implementation

Although the entire Task Force was charged with implementing the process, memebers of that committee agreed that the leadership was assumed by the Superintendent and Assistant Superintendent.

These two, drawing upon consultant advice, developed a strategy which can be characterized as:

1) evolutionary--initially a five year target time was set for complete introduction of PPBS. This goal was revised to "more like six or seven years" according to the Assistant Superintendent;

2) spread by "project areas"--the process was to be spread by involving people in the process whenever a new program was to be developed or an old one reorganized. Over a few years it was hoped the process would be normal behavior for all participants. It was felt that strong administrative and consultant leadership on the process would be needed, especially during the first two or three years;

3) participation and decision-making by teachers--all committees and study groups, other than the Task Force, were numerically dominated by teachers. However, the process also created in-put from students and parents through participation, surveys and other means.

The 1970-71 school year was devoted mainly to preparing the staff for the new planning process and conducting an initial pilot project. On one level was an attempt to educate the general faculty to the nature of the PPBS process and associated techniques. At the same time a specific project involving the math curriculum, K-8, was initiated. The end of the school year also saw the initiation of study groups in other project areas. Extensive work was also done at the central office level to rework budgeting procedures to conform with the PPBS system.

General Faculty Education

The average member of the teaching staff came into contact with the PPBS notion in several ways during the 1970-71 school year. Dr. Hackman and Dr. Clarke, early in the year, mapped out a strategy which included:

1) a series of faculty meetings at the building level conducted by either consultants or themselves designed to examine the nature and purpose of PPBS;

2) printed literature distributed to the faculty; and

3) district wide faculty meetings devoted to considering ways of operationalizing the PPBS process within the district.

The Saxton Teachers Union also became actively involved. The organization had previously negotiated two conference days for their own use. The Education Committee of the Union, at some considerable expense, brought in three out-of-state consultants. The consultants conducted a series of experiences in the writing of behavioral objectives and exploring evaluation techniques on a classroom and program-wide basis--two areas already stressed to the teachers as important components of the PPBS system. This conference was generally considered, as one teacher put it, "an expensive learning experience in how not to run a conference for teachers...a real bomb." Failure though it might have been, the conference reflected the support the organization was giving the administrative initiative.

The experience also convinced the superintendent and assistant superintendent to move toward what they considered a highly successful "teacher-teach-teacher" approach in district wide meetings. These conferences were planned and conducted by these two, the consultants, plus the teachers who had attended the summer workshop. Several other teachers were also recruited to act as small group discussion leaders.

Changes in the Budgeting System

The budget format underwent extensive revision. The School Business Manager, Assistant Superintendent, and PPBS Project Intern from a near-by university worked closely in breaking the budget down into program areas.

The Business Manager was described by the Superintendent as:

> a man of unending energy, who spent time well beyond the call of duty on the revisions. He is actually the silent partner in the project-but an extremely important one.

By late in the School year 1971-72, the Business Manager had become very familiar with the literature on PPBS and had, he was proud to point out, been contacted by several schools around the State to consult with them in revising their budgeting systems. He also had been allocated time at each Board meeting to review the new procedures and explain the budget projected for coming years.

The generation of items in the budget was accomplished under a new system. Each building principal was educated in the techniques developed. The Business Manager developed and distributed "Work Sheets" for each building which included:

a) a short description of the meaning of the budgeting process in PPBS;

b) a glossary of terms, and examples of Goals, Objectives, Coding Procedures, etc.

c) Budgeting Worksheets--which related specific Goals and Objectives to funds requested and set a priority on a three point scale (as well as bookkeeping information, such as quantity needed).

The Business Manager had also worked to break down the conventional district budget to reflect programs in the districts. At the time of the interview he was searching for better computer facilities which would allow for immediate and very specific data feedback.

Changes in Planning in Instructional Areas

By the end of the 1971-72 school year several instructional areas had become involved in planning under PPBS. Study groups were set up in music, guidance, math, grade organization, and reading.

The model for instructional planning followed by each of these groups followed closely the guidelines developed by the Regional PPBS group. The Guidance Department study, described below is presented as a typical example of the general approach and techniques of planning used at Saxton.

Example: Instructional Systems Analytical Study (ISAS) of the Guidance Program

The Saxton study of the Guidance Program took place during the 1971-72 school year. The decision to focus upon this department was the result of several factors. According to several memebers of the PPBS Task Force this area was one of great concern to people contacted in the "Needs Survey" of the previous year. Also the head of the guidance program had initiated a series of requests for the reorganization of his area. The Task Force, especially the Superintendent and Assistant Superintendent, saw this as one of several areas where the planning approach being advocated could be utilized during the 1971-72 school year.

Upon the recommendation of the Task Force, the Curriculum Council met and organized a subcommittee to conduct an Instructional Systems Analytical Study (ISAS). Twelve (12) people were appointed by the Council:

1) two guidance counselors

2) the Assistant Superintendent and the PPBS Project Intern; the High School Principal; and the Assistant Principal of the Middle School; and

3) one elementary, two middle school, and three high school teachers.

The Guidance ISA Study began in December of 1971 and resulted in formal recommendations to the Board of Education in June of 1972. The final report to the Board reported the nature and purpose of the ISA Study as follows:

> A primary component of the Planning Programming Budgeting System (PPBS) model is a procedure for making reliable predictions for cost effectiveness of new instructional programs. This procedure is designated Instructional Systems Analytical Study, or ISAS.
>
> The major purpose of an ISAS is to aid the educational planner in breaking out of the traditional, "Let's try the _____approach and-see-if-it-works" method for solving large scale educational problems in his district or school. The ISAS is a tool that allows planners to determine probable costs and effects of their actions before any action is taken in implementing new programs, courses and materials.

The report further noted that sophisticated, quantitative analysis used by the Defense Department and industry is not now possible in education. However, "the basic approach can be modified and yield valuable information". The task of the committee, according to the final report was:

> to look at the program and to determine the one best possible method, given realistic constraints, (and) to provide the desired and necessary Guidance/Counseling functions to the students and staff.

The Guidance ISAS Committee met in December of 1971, elected a chairman from the group (a guidance counselor) and divided into several subcommittees. Considerable organizational and technical leadership was exerted by the Assistant Superintendent and PPBS Project Intern according to a number of participants.

Each subcommittee was given a specific task area and assigned a date for making a final report available to the total committee. The four subcommittees and their assignments included:

1) the Objectives Subcommittee--collect from members of Guidance Department and relevant literature a bank of objectives suitable for Saxton's department;

2) the Present Program Subcommittee--a description of the present guidance program;

3) the Needs Subcommittee--survey a representative sample of students and entire faculty and determine primary needs to be met;

4) the Alternatives Subcommittee--develop several alternative programs, each having expected potential for meeting the needs and objectives of the guidance program at Saxton.

Some dissatisfaction was expressed over the sub-committee approach and was reflected in a comment by the chairman of the total committee:

> We felt the pressure of time working against us. The Board and administration needed our report by budget-

> setting time if we were to have any impact. By using subcommittees we got to our goals faster but did not really build on each others work until the end...the final report reads as if there were some sort of logical sequence to our work. There wasn't.

Each subcommittee reported back data it had gathered. Reports were accepted at face value as data to work from. The report of the Alternatives Subcommittee provided the heart of further action by the committee. Five alternatives were suggested. In brief, they included:

1) continuation of present program

2) present program plus 3 new counselors

3) present program plus the addition of a Psychologist/Social Worker

4) a program composed of 2 pupil personnel directors plus use of released time of teaching staff and a team concept.

5) present program plus use of homeroom teachers with no released time.

The committee then developed eleven "effectiveness variables"--factors which they felt would influence the effectiveness of any of the alternatives which had been identified. The "effectiveness variables" included such factors as potential acceptance by teachers, students, counselors, and community; accommodation of needs of students and staff; competency of primary actors in implementing each objective; availability of materials to support the alternative; and the effectiveness of each alternative in meeting the objectives of the Saxton department.

The effectiveness variables were then submitted to a panel of 18 "experts" consisting of the members of the Guidance Department, several staff members, two Board of Education members, and several guidance directors in neighboring schools. This panel was asked to (a) rate each of the five suggested alternatives on each of the eleven factors and then (b) using a matrix furnished by the committee, record their preferences or judgement regarding the importance of each effectiveness variable compared to every other variable. This latter procedure provided a

means for the committee to assign weights to each of the eleven factors. The PPBS Project Intern and Assistant Superintendent provided the organizational and technical leadership in this phase of the committee work, following closely the guidelines of the model developed by the Regional PPBS Project group.

This procedure allowed the committee to chart the "effectiveness" of each alternative for each variable as judged by the panel and then arrive at a total weighted effectiveness score.

The committee then projected cost estimates for each alternative. A graph was drawn showing the relationship of effectiveness to cost of each alternative. The entire study, containing 38 typed pages of proceedings and data, was then submitted to the Curriculum Committee and in turn to the Board of Education with the following recommendations:

> Based upon the graphic representation alternative #2 would be most effective but it was also most costly. The ISAS Committee recognized that the attitude of the community toward school costs make alternative #2 impractical. The present program was rated as being least effective of all the alternatives.
>
> Alternative #4 reflected an approximate 10% increase in costs over the present program but was also rated as being approximately 44% more effective than the present program. Alternative #5 was rated more effective than the present program at the same costs, however, it had the problem of coordinating the activities of 85 other individuals without providing for this coordination. Alternative #3 was more costly and less effective than alternative #4.
>
> Based upon the cost-effectiveness study it is the recommendation of the Guidance ISAS Committee to implement alternative #4 for the 1972-73 school year.

This report was explained to the Board by the chairman of the committee. The Board accepted the recommendation of the committee as stated in the report.

The Superintendent, in reflecting upon the work of the committee, noted that:

> the mass of data collected and the projected costs, projected effectiveness of each alternative, and the clearly stated assumptions regarding all variables placed the recommendation in good light with the Board...on the other hand, I've noted a tendency in these study groups for overly conservative alternatives to be generated. I'd like to see us break away more from tradition in our planning. Maybe that will come in time.

The Guidance ISA Study provided a means to continue the evolutionary spread of the PPBS model. It also provided that schoolmen with data to support changes in an on-going program, and actually resulted in increased financing of that area by the Board. The other studies conducted at Saxton--in math, reading, K-12 organization, space and music--were organized along very similar lines and drew upon the same general techniques.

The Impact of PPBS at Saxton

PPBS had gained viability and legitimacy at Saxton by the time the present research was conducted. The technical problem of using PPBS in education--on the surface at least--had been handled. In no small way, this was related to continuing consultant help and strong administrative leadership.

The faculty accepted the approach and readily participated. The administrative leadership had taken steps early in the project to include teachers in the process. The Superintendent had acted upon his belief that

> it was important <u>not</u> to have the project look like a power issue. Often PPBS is--such as in the Department of Defense--a power grab. We wanted to work with and through the teachers. We saw the planning approach as a means to decentralize decision-making and bring more people into the process.

School and community leadership also felt that new planning and budgeting system had helped communication. The Superintendent was

pleased to point out that the Board

> presented the budget at our public meeting by themselves for the first time in a long time. They understood the budget, by programs and by priorities. Also, this time they supported it to a man...
>
> The Board actually increased funds, to support the PPBS Project Intern and to implement two programs recommended by our ISAS's.

Future plans were being discussed as the case study was being developed. In a round table discussion with the Superintendent, his assistant, the PPBS Intern, the Business Manager, and several principals two major thrusts were being planned:

1) developing wider involvement--more citizen, parent, Board, and student involvement in planning was considered important. They felt a good start had begun internally and that the next step was wider involvement; and

2) an increasing number of ISAS's--drawing upon the expertise of teachers who had already been involved in such groups.

The project was not without problems. Many of the teachers felt that there was an increasing demand on their time as a result of the PPBS approach. Other matters, they reported, suffered as a result of their involvement in such an extensive approach to planning. Several teachers who had not yet been involved in an ISAS group expressed somewhat contradictory feelings. On the other hand, they expressed apprehension over the technical, seemingly complicated nature of the planning approach. On the other hand they often expressed a feeling of being "left out" or "overlooked" by the school leadership.

A problem of a more serious nature could also be detected in examining the results of the long hours of planning. Interventions of a technical nature in planning were frequent and easily detected. Interventions of educational vision or creativity were almost completely lacking. Technical leadership appeared to be, as one person once said, not a case of the blind leading the blind, but of the bland leading the bland.

Chapter VII

Milton City School District:

A Case Study of Planning and Change

Background

Milton is a city of approximately 8500 people which has experienced a population decline throughout the past half century. In 1920 the city had approximately 14,000 people. The primary economic base for the community is manufacturing. Most of the mills are small and engage in light or medium industry. The number of these concerns has also declined over the past several decades.

Milton, like the county of which it is a part, has had a continuing high rate of unemployment and relatively few high paying, highly skilled forms of employment. It is a predominately blue collar, ethnic, lower middle class, white community.

The school district has a student population of approximately 2000. Some 20% of these students come from rural areas surrounding the city. Until recently Milton had an undistinguished program housed in buildings which were constructed prior to 1920.

The age and condition of the school buildings had been a concern to the school leadership for a number of years. Several attempts to build during the 1950's and 1960's had met resounding defeats at the hands of the voters of the district.

Finally, in 1967 a bond issue was passed to build a new high school. The building was to be a newer, "open design" structure. The cost of the school was considerably lower than previous bonds and was often cited as the reason for its passage. A typical comment of people interviewed from the community, Board and staff was reflected in a Board member's statement that:

> We really didn't project a program into the school. We needed a school. Everyone knew that. And the cost was lower than other buildings. That was enough.

The superintendent during the development and passage of the bond issue left at the end of the 1967-68 school year to assume a similar post at a larger district. The successor to the Milton superintendency remained for less than one academic year, returning to his home district to assume a superintendency position. An acting superintendent--a local--was appointed to finish the school year and remained in that position until the next superintendent took over in the middle of the 1969-1970 school year.

There was general agreement among participants that next to nothing had been done to prepare for the movement to the new school during this time of leadership turnover. The occasional meeting to discuss the movement and possible program changes led no where. Ideas dead-ended. Planning, either formal or informal, was non-existent.

The new building, the potential for program changes, the increasing anxiety on the part of the staff as the construction progressed, and the new administrative leadership--all set the stage for the district's involvement in planning and change.

Initiation of Planning

Dr. Wayne George assumed the superintendency at Milton, November 1, 1969. He had had previous experience as a teacher, building principal and as an associate director of a Title III Regional Center. In interviews with other participants in the system he was often described as "engergetic", "dynamic", "innovative", and "on-the-make". He held very definite opinions as to the troubles facing schools, and strong convictions as to solutions. He readily admitted to enjoying conflict and viewed one role of educators as "jarring people's compacency--making them face up to the real issues of the present and future."

Dr. George turned much of his attention to the new high school building. The new school was scheduled to open in September. He found little had been done to facilitate the move: "most of the furniture had not even been selected, much less ordered".

The superintendent had been attracted to Milton mainly because of the potential program he felt was possible in the new high school. He moved fast. During the first month on the job he made contact with all area colleges, the Title III Regional Planning Center, and the State Education Department. He wrote to and gathered information on what he considered to be the best and most innovative programs in the nation. He was looking for help: "all resources I could put my hands on".

At the smae time an unexpected opening for the high school principal's position enabled him to bring in an acquaintance who had previously served as an administrator in a school long noted for innovativeness in the State.

The superintendent's contact with the Title III Regional Center proved especially fruitful in regard to planning. The Center had recently developed a working relationship with the American Management Association (AMA), a group devoted to consulting with business firms in the planning process. The approach to planning utilized by the Center was heavily influenced by AMA. Also AMA actually entered into the process of training and consulting with several school districts in the geographic area covered by the Center.

The Center agreed to provide consultant help to Milton in planning.

The superintendent had little difficulty in "selling" the relationship to other participants in the system. The new school was a source of anxiety for many teachers, and as one teacher stated:

> We were simply up in the air. We didn't know what we were getting into in the new school--and hadn't even been involved in the planning. We needed leadership--in fact we were waiting and hoping for it. Dr. George came along and made it all very exciting.

The Board of Education also agreed easily and, further, allocated funds for the training and planning sessions. The Board had already come under pressure regarding the new school and had even discussed with administrators and teachers the possibility of erecting partitions and walls to change the open design.

Implementation of the Planning Process

The move into the new high school building strongly influenced the emphasis in initial planning, composition of initial planning groups, and pattern of diffusion of the process within the idstrict.

The spread of the formal planning system within the district over the approximately two and one-half years of involvement with the process was as follows:

a) PHASE I: Initiation to Fall, 1970

During the 1st phase there was a determined effort to include representatives from various groups within the district. The "Initial Planning Group" met four times for two or more days each session. These meetings were held in off-site settings; once at AMA for one week; once in Milton; and twice in hotel meeting rooms located in the nearest large city. This group included representatives from the School Board, community, teachers, students and administration.

In each case consultants were on hand from either AMA or the Regional Center to educate the group in the planning process and facilitate actual planning. Some funds were allocated locally for these activities with the rest coming from outside sources.

At the same time numerous meetings were taking place at the high school. Only the professional staff was included in these planning sessions. "Time was short and many concrete decisions regarding the new school had to be made," according to the high school principal. The professionals had frequent consultant help in planning but their sessions utilized the planning process in a much more informal way.

The relationship of the two groups (the "Initial Planning Group" and Professional Staff) was not clear. However, interviews and written records suggest that the actual decisions as to the nature and format of the new program grew out of the meetings held by the faculty and administration. On the other hand, evidence also suggests that planning by the representative group did influence, in minor ways, the direction of planning at the building level.

b) PHASE II: Fall, 1970 - Spring, 1972

During this phase there were created several ad hocratic groups concerned with specific topics e.g., community relations; grading and reporting systems; spreading of the planning process to other levels; etc.

Also during this period there was a noticeable decline in participation at any level of planning by representatives of groups other than the professionals. The format for planning more closely followed that of the High School Planning Groups of Phase I, although there were interventions by consultants and administrators to facilitate greater use of the formal steps and procedures of the AMA process.

Dr. George described these changes as:

> partially determined by time--our time and that of community and Board participants. It is difficult to get them to spend the necessary time.

A number of the professional staff, including the high school principal saw this evolution as a mistake--in hindsight--and a lost opportunity:

> We had begun by having a number of groups represented. I can name specific people who have opposed the idea of our program who changed their attitudes as a result of sitting down with us to plan. I think a lot of opposition we now face could have been avoided if we had expanded involvement rather than having let it die out. We really have a communication gap now.

The principal was referring to a growing and vocal opposition to the program and school leadership which had developed and was threatening, in a very real way, the continuation of both.

The Planning Process

According to the Executive Director of AMA's Educational Division, the AMA planning approach is a means for the development of a long-range plan for an organization, and a scheduled, task-specific means of reaching the goals embodied in the plan. Through the generation of data and close, focused interaction among key participants of the organization responses to three questions are obtained:

(1) Where are we?

(2) Where do we want to go?

(3) How are we going to get there?

The AMA approach often creates a "temporary system" away from the normal operation of the organization. This typically involves the top leadership of the system. The planning consultant assumes a strong position in relation to processes of planning engaged in by the group. The process in a relatively structured, step-by-step approach.

In the first sessions an overview of the organization is generated. Participants concentrate upon (1) an analysis of the organization e.g., mission, belief, policies, resources; and (2) the environment of the organization e.g., socio-econcomic forces, strengths, weaknesses, technology.

Typically a several week interval is allotted to "homework" back in the system. Much of this time is devoted to the generation of data needed in planning as specified in the first session, and in drafting strategic proposals. A review is also undertaken of objectives in relation to trends and potential future performances.

The second planning session held at AMA is typically concerned with reviewing objectives; setting priorities; selecting optimal strategies; deciding upon action programs to implement strategies; setting assignment schedules and review procedures for the actual implementation; and providing for review and evaluation of the total plan and strategies.

The movement is from the most general consideratoons, e.g., mission, to the most specific of implementational issues, e.g., who is responsible for what part of the plan, and when. The procedure is designed to provide a collective and similar frame of reference among all participants regarding each level of the planning.

The Regional Planning Center was heavily influenced by this process through close contacts with AMA. However, one further dimension was added in the translation of the process from the private sector to education. The State Education Department was actively pushing the concept of the "Redesign" program which included the philosophy of wide involvement in the planning process, especially by members of the local community. Characteristically, schools working with the Regional Planning Center employed many of the processes, techniques and even worksheets of AMA but added on organizational format which attempted to include wide representation from the various groups in the school district.

The Planning Process at Milton

The adaptation of the AMA and Regional Center planning process by Milton was unique in comparison with other schools in the same network.

Four characteristics stood out. First, the district came to the planning process with a specific, identifiable goal already in mind: the creation of a program as "open" as the new high school building. As one of the chief consultants to the project observed:

> They had their goals pretty much set. The problem was more gaining cooperation and implementational in nature—the how do we get there question.

Further:

> Rather than considering district-wide issues, their planning process—for the first year and a half at least—was directed toward just the high school program.

Second, less time was devoted to developing and using a format which included numerous community groups in the planning process. Much of the planning was carried out completely by the professional staff, although the influence of the Center was felt in the creation of the initial planning group.

Third, there was very strong and definite leadership exerted by the administrative team in both curricular and planning processes. The administrators were very much a part of the planning meetings. They did not see their role as simply facilitating the planning process for others. A typical response was that of a teacher who described the role of the Superintendent and High School Principal as "the dominant and dominating forces in the planning of the new program." This was echoed in a consultant's comment that "I often had to intervene to let others be heard."

Fourth, and finally, a great deal of planning took place outside the formal setting and without too much regard for the formal steps in the planning process. The formal planning process was used by the school leadership to "pull together" ideas and issues discussed in other, more informal settings; and mainly to set up systematic implementation procedures. For example, the desire for a wide range of elective courses and flexible modular scheduling grew out of departmental and building level meeting and administrative leadership. However, the formal planning process was used to facilitate actual implementation. According to the High School Principal:

> The planning process we have used has many advantages. The key was in the frame of reference it gave people in looking toward the future, and the attitude that they can control it. On the other hand we didn't stress all the technical procedures to the point where it actually got in the way--and I know from experience that it can...Creativity and innovative attitudes can't always be scheduled and programmed in such neat steps.

Examples of the Formal Planning Process

Milton's involvement in the formal aspects of planning has produced several hundred pages of specific and documented planning. Some flavor of the approach can be gained by examining the evolution and implementation of one goal: that of spreading the planning process itself to all parts of the system. The planning for this goal took place in March 1971 after almost 1½ years of involvement with AMA and the Regional Center.

Previous meetings had developed and refined statements regarding beliefs, strengths, weaknesses, assumptions, and mission. Also a list of continuing objectives had been developed. Such objectives were defined in workbooks used as:

> Qualitative or quantitative statements which collectively described the conditions which will exist when the organization is fulfilling its mission.

One of the continuing objectives of this district was stated in the planning documents as:

> Systematic Planning Procedures as an ongoing characteristic of the total System.

Due to initial emphasis on the high school program little had been done to implement this objective on a total system basis. The administrative subsystem and high school building faculty were the only components of the system utilizing the planning process.

The administration and consultants agreed that planning as a process and a frame of reference had been well accepted and utilized in these two subsystems. The time was ripe, they felt, to move the process into the Middle and Elementary schools. Not coincidentally, the Superintendent wished to focus upon and bring changes into both programs similar to those which had been achieved at the high school level.

A meeting was held at an out-of-town site drawing upon the resources and consultants of the Regional Center. In attendance were the Superintendent; the building principals from the high school, middle school and all elementary schools; one high school department chairman; two elementary teachers from each building; and a consultant. The selection and composition of the group was typical of planning as it evolved during the second year: (1) participants were selected by the administrators and consultants based on criteria they felt would insure success of the specific project task, and (2) the group was ad hocratic in nature.

Among the topics discussed was the specific issue of spreading the planning process to the middle and elementary schools. As a result of the session the following worksheet was produced:

CONTINUING OBJECTIVE No. I RELATED TO BELIEFS #1 and #3

TO IMPLEMENT THE PLANNING MODEL ON A TOTAL SCHOOL BASIS

SYSTEMATIC PLANNING PROCEDURES AS AN ONGOING CHARACTERISTIC OF THE SYSTEM

Specific Objective:	Strategy	Task Action Program	Responsibility	Due Date
L.1 To involve personnel in each school in the planning process.	L.1.2. To focus on a project in each building and work thru the planning process, involving all those to be effected by and involved in the project.	L.1.2.1. Meeting of staff in each building to determine project.	Principal	Prior to April 19
		L.1.2.2. Flesh out the process the afternoon of November 19th.	Principal & Staff	April 19, 1971
		L.1.2.3. Evaluate the plan at A.M.A. with Faculty of each building.	Superintendent & Planning Team	May 4, 1971
		L.1.2.4. Include H.S. teacher in facilitating planning process at H. S.	English Department Chairman	June 1, 1971
		L.1.2.4. One half day workshops on process at each building. Develop plans for follow-up as needed.	Consultant	May 1, 1971.

The meeting was facilitated by the consultant, who described his role as keeping records, insuring participation by all, focusing the session on the issues, and keeping the group's attention on each of the steps required in the planning process.

The superintendent, through the building principals, monitored the implementation procedures which had been specified. A review and evaluation meeting was held in early June to review the progress toward this objective, along with several others generated at the original meeting. The process had gained legitimacy within the system and could be recognized easily by outsiders visiting the district. However, the products of the planning were to come under great political stress.

The New Program

The high school program in June 1972 looked very little like the prior one. The program had changed from what one teacher called "one of the most traditional programs in the State" to one which gained a relatively wide-spread reputation.

Over 1000 visitors traveled to Milton during the two years after it opened to view and evaluate the open structure and program. Not all were as enthusiastic as a senior professor of a university who stated that he had renewed faith in public education and used a Lanston Hughes quote to convey his feeling: "I have seen the future and it works." Most would agree fully--participants, local citizens, and visitors--that something had indeed happened. Many sweeping changes had taken place. And in a short time span.

Many recent educational innovations were evident. Flexible modular scheduling was used. Limited, mandatory courses gave way to a wide selection of electives and mini-courses. Large group-small group instruction, independent study programs, learning activity packets, student initiated courses, and much evidence of tutorial instruction were to be found. New state and federal grants were cultivated by Superintendent George and provided a means to institute several other innovative programs. Workshops and in-service programs for teachers were at their highest peak ever.

However, participants cited other changes as actually characterizing the true nature of the Milton High School program. Students had a great deal of freedom within the school. Unscheduled time could be used any place on the campus. Student-initiated courses and projects were encouraged and facilitated. A "School-wide Forum" began each day, where students and faculty alike could initiate, discuss and act upon problems.

Teachers also felt a new freedom, and new responsibilities. They spoke of a climate which encouraged them to experiment in their courses and to meet with students in small groups and in individual conferences. They reported working together, for the first time, with other adults to solve educational problems they had identified. A very typical comment was that of a ten year veteran of the district:

> I've never worked so hard. I feel there is so much to do and try. This thing has simply caught fire here. A whole new philosophy of education has developed--for me and almost all of the teachers.

Another teacher, with eight years of service hit upon the most recurring theme of the interviews: "teachers and students found each other for the first time."

Reaction

The Milton program began to run into resistance from several vocal community leaders almost from the beginning.

These leaders voiced five main objections to the program in the local media and at School Board meetings:

1) the freedom of students and teachers, but especially students, was characterized as permissiveness--which would not build character or discipline. It was often classified with counter-culture and leftist movements. These leaders felt that the adult leadership of the school was too often abdicating responsibilities given them by the community;

2) they also cited the experimental nature of the program and often used the phrase: "educators should not be allowed to experiment on our children";

3) the question of ownership of the school was repeatedly brought up. Professional vs. lay control of issues produced emotional responses on both sides. The school, as one of the anti-program leaders stated at a Board meeting, "should be what our community thinks it should be, not what liberal educators here and in the State Education Department want";

4) economy also became an issue: "if the social studies department can offer so many courses," one leader argued, "then its obvious we have found an area where we can cut back and save some money"; and

5) The confusion and discipline problems of the new program were cited as evidence of its failure by the anti-program group. Stories were reported at Board meetings and in the local media of students, teachers, and parents being confused by the new program and the freedom and choices which came with it. Stories of discipline problems at the new school were reported in letters to the editor and by word of mouth. The reaction of school leaders was to deny such stories and invite people to visit the program and see for themselves--but this reaction failed to dampen the rumors.

The school leadership found itself in an odd position. They had successfully planned a program for the new school. In the program they included characteristics of educational programs which, they felt, reflected some of the best, current thinking in the field. They had been highly successful with the herculean effort of gaining faculty commitment and active participation in the changes needed. They reaped praise from visitors and educators. But increasingly they faced a hostile community.

The vocal anti-school group found an ally in one Board member. The Board often split 6-1 through the first months of the new program.

The next election, in May of the first full year of the program, brought still another anti-program vote to the Board.

Attendance at Board meetings swelled. Often 100-200 people attended. A very vocal group with several identifiable leaders led the way. They used Board meetings as a forum for their thoughts and gained a wide audience through coverage provided by the local newspaper.

Letters to the editor strongly criticized the program and the school leadership. The tone and content of the letters is conveyed in the statements contained in just one of the letters:

> Students throughout the school system are serving as guinea pigs for various innovative programs originating in the minds of far out educational theorists. Are the parents whose children are being subjected to this revolutionary educational process happy with the results? Judging from the information I am receiving, the answer is "no".

The program and school leadership were not without friends in the community. However, their allies never coaleased nor carried out a coordinated campaign in support of the school. The faculty association backed the program but carried little weight in the community. The faculty of the high school let their support of the school leadership be known repeatedly through various channels but also appeared to have little impact.

The second year of the program saw the development of even more controversy, split votes and highly emotional debates at Board meetings. The Board election in May 1972 produced a lively campaign in Milton. Two positions were open and neither of the incumbents were running for re-election. Both had supported the school leadership completely, but both had personal reasons for not running again.

The voter turn out was by far the largest ever recorded in the history of Board elections at Milton. Five candidates ran. Two ran in support of the program. One took a "middle of the road" stand. The final two were a part of the leadership of the anti-program group

which had formed over the prior two years. One was the author of the letter to the editor cited earlier in this section.

The latter two were elected overwhelmingly. Both considered the election a mandate from the people. Both were vocal opponents of the superintendent and high school principal before and during the campaign.

A "new majority" had been created. The two new members had always had close ties with the two former minority members of the Board. Now they saw the power flow into their hand, 4 - 3.

Several further events quickly took place which indicated the future problems to be faced by the school leadership. One such event took place in the first business undertaken by the new Board--that of the reorganization of the Board itself.

Traditionally, length of service determined who would serve as Vice President and President, the latter having most service and the former next in number of years on the Board. This would have made a supporter of the program and school leadership the next President. However, by a 4 - 3 vote this position was given to a member of the new majority. This action reflected only a small part of the actions planned by this group in informal meetings. But the signal was clear.

Both the superintendent and high school prinicpal began looking for new positions. Within a year the principal was fired and the superintendent had resigned.

Chapter VIII

Lakeshore City School District

A Community Involvement Model of Planning

Background

The city of Lakeshore is located in the northern part of the State near one of the Great Lakes. The city has had a very stable population of approximately 32,000 throughout most of the century.

Economically, the city depends on several sectors, none of which have proved to be predictable over the past ten years. The city's largest employer produces machinery and parts for a medium--and economically hard hit--industry. Several large lay-offs have taken place over the past few years and more are expected.

Lakeshore shares in a large tourist business due to its location, and serves as a commerical center for a large surrounding area. A number of small, light industries offer limited employment opportunities. According to personnel in the local employment office, Lakeshore has had a higher rate of unemployment than either the surrounding area or the State, especially in the last decade.

The school district draws from the immediate rural and "suburban" areas as well. A total of 40,000 people reside within the school district's boundaries. Close to 7000 students are enrolled in the public school district. Another 2000 students attend Catholic schools in the city.

The district has a professional staff of slightly over 400. The 1971-72 school budget amounted to $8,500,000. Approximately 60% of the graduates of Lakeshore go on to either 4 year colleges or other forms of continuing education, which is about average for the State.

The Community and the School

The relationship between the school and community was a subject of a survey sponsored by the district's Planning Council. The results,

according to the firm hired to conduct the survey: "closely paralleled national feelings according to the Gallup Poll."

Citizens tended to rate the school "average or better"; teachers "better than average"; school principals "slightly above average"; and central office and school board "about average". The two biggest problems faced by the school, as seen by the citizens sampled, were discipline and drugs.

Although a generalized support of the school was evident, the survey firm reported:

> the community is even more opposed to increased school taxes than citizens throughout the country as revealed in the 1971 Gallup Poll.

They also found that the community was

> slightly opposed to the open classroom concept currently utilized in one of the school district's buildings.

As with most surveys of this type, interpretations varied. Three opinions seemed to dominate amongst educators. One schoolman in a position of influence in the district reflected one opinion heard often: "it shows the people are happily ignorant of the problems faced by schools today". Another expressed the feeling that the survey should convince educators "to leave well enough alone". The third opinion held that the data generated by the survey should indicate--if not dictate--future and needed adjustments to more conform with community norms and expectations. No one seemed clear as what actually would be done with the survey results.

The survey took place during the second year of the district's involvement in state supported project which stressed planning. It is to that project we now turn.

Initiation

External Conditions

The State Education Department (S.E.D.) had developed a plan to help local districts throughout the State "Redesign" their programs. As part of the plan, four districts were to be chosen as "lighthouse

districts": a small city, a rural community, a suburb, and a district in New York City. Each of these districts, it was conceived, would work with each other and directly with the S.E.D. as "pathfinders" in developing strategies and programs which could be shared with other districts. A network of "secondary lighthouse districts" were also to be established with the guidance of the Regional Planning Centers already in existence throughout the State.

The S.E.D. saw its role as encouraging the redesign process, but leaving control over the changes and change process in the hands of the local district. Its model was similar in one important respect to early Office of Economic Opportunity (O.E.O.) programs. The prototype districts would stress "total involvement". Whether involvement was the goal or a means to other goals was unclear.

The Commissioner of Education of the State outlined the goals of the project as follows:

1. To define the mission of education
2. To redesign instructional programs
3. To improve educational personnel
4. To deal with student activism constructively
5. To redesign the curriculum and the entire teaching-learning process.

The S.E.D. also developed a list of 24 characteristics of a desirable future educational system which might be strived for: e.g., "the New System of Education guarantees that decision-making power is in the hands of those who are affected by the decision"; "... emphasize processes rather than information"; "...is a zero reject system"; "...has evolved by a process through which the community has gone"; etc.

Prototype districts were to be selected and observed closely during a span of several years. State mandates were to be loosened and extra financial and consultant resources made available.

The Local Reaction

The S. E. D. asked for applications from all districts interested in becoming prototype districts. The superintendent at Lakeshore, Mr. Wilbur Johnson, responded. He saw several opportunities open to the local district if chosen as a prototype district:

> We would obtain consultant services and expertise we hadn't been able to afford in the past. Also, there was the consideration that the Title III money provided by the State could be used to get our people out to see what is happening in education around the country. We could bring people to us who were doing some exciting things in education. The opportunity to be futuristic in our thinking was an exciting possibility.

The decision to apply for prototype status was made and carried out by the superintendent with the approval of the School Board. At the same time the meaning of the experience and the expectations of the State were left largely unexplored and vague. It was seen by the superintendent as a chance to become involved in a funded project, a project which might help the district bring about needed, constructive changes in local programs. The district had only recently finished construction of a new open-space building and the project was seen as an opportunity to further inject change of this sort into the district.

State consultants met with the School Board late in the 1969-70 school year. Lakeshore had been selected as a prototype. Initial clarification of expectations and potential of the project were subjects to be discussed. However, late negotiation problems with the local teachers union superceded much of this part of the Board's agenda--and may give some indication of the rather off-handed movement into the project on the part of the Board.

On the other hand, the announcement of Lakeshore's acceptance as a "lighthouse district" provided good copy for newspapers in the area. Although few were sure what it meant, the community was being singled out and recognized. The Project Coordinator, looking back, termed it a period of "rapidly rising expectations--with each person expecting something different".

Implementation

The Lakeshore experience was heavily influenced by the dualistic purposes built into the project. On the one hand was the objective of instituting system-wide planning and change. According to Superintendent Johnson the project "is an attempt to look at the total system...to identify what needs to be changed and determine the directions these changes should take".

On the other hand, the project was designed to include "maxium feasible participation". Planning was viewed as a necessary activity but only the widest possible involvement in that process would yield the type of system desired by the local community. Through this means the project hoped to, in Johnson's terms, "bring about a system of education in Lakeshore that is relevant to all the people in the community." To accomplish this, new means of communication and co-ordination, and new processes of decision-making regarding the future had to be developed.

The first order of business, as agreed upon by the Board and Superintendent and encouraged by State consultants, was the establishment of a council representative of the entire community. Much of the tone of the project stemmed from this initial activity.

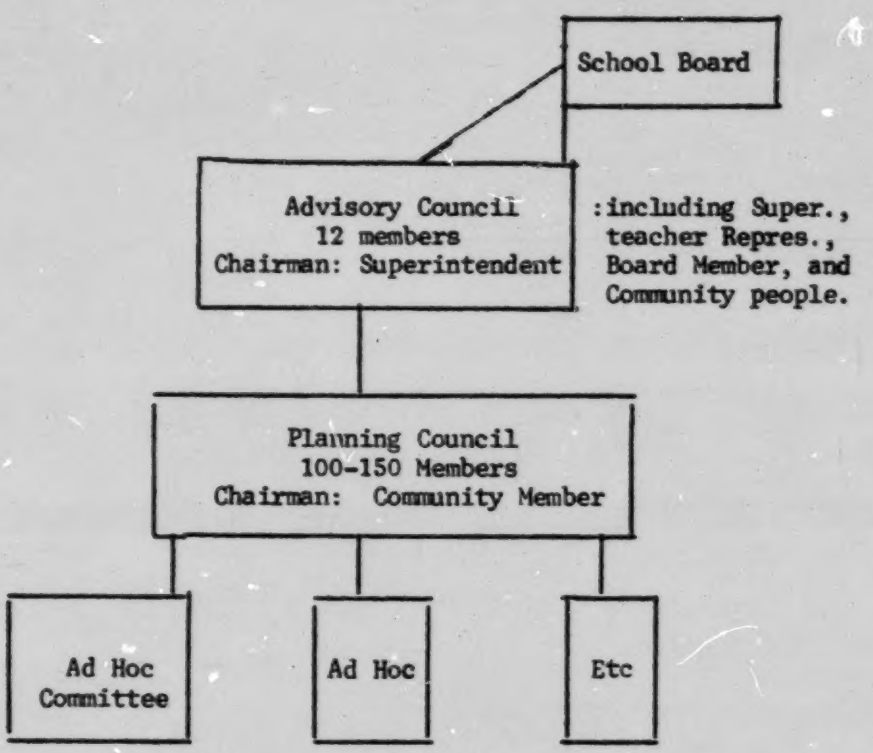
The Board and Superintendent decided upon a course of action. A letter was sent to the presidents of all local organizations, e.g., Rotary, Chamber of Commerce, Labor Unions, etc. Each organization was asked to designate, through a self-determined means, representatives to the Planning Council. A meeting was set for August.

One hundred and fifty attended the first meeting. Some time was devoted to outlining the purpose of the Council, including statements by the Associate Commissioner of the State Education Department.

Organizational Structure

The organizational structure of the Planning Council changed during the first two years of existence. The changes reflected the problems encountered by the Council as well as refinements resulting from experience.

The large Planning Council proved unwieldy. The result was the development of (a) an Advisory Council which served as a steering committee and (b) Ad Hoc committees to study and recommend specific program changes.



The Planning Council (P.C.) met regularly once a month. The Advisory Council and the various Ad Hoc Committees met as deemed necessary, usually more often than once a month. The Advisory Council prepared agendas for meetings of the P.C. and, many thought, became the real power of the structure. Issues raised in the P.C. were typically given over to a committee set up for that particular purpose. They would then report back to the P.C. for final action. Recommendations of the P.C. were then transmitted to the Board of Education of Lakeshore for final action.

The organization also was the target of various training programs. Through the financial resources made available by the State various consultants in the planning process were brought to Lakeshore. For example, one individual associated with I.B.M. conducted training sessions for several dozen participants over a period of two months. However, at no time was one particular planning approach agreed upon as a common mode of operation.

First Year Adjustments

The first year of the project was one of exploration, refinement and reaction. Procedures, purposes and relationships had to be worked out.

Several issues presented themselves early to the Planning Council. The local Teachers Organization complained of under-representation. The P.C. reacted by re-organizing and adding more teachers, but did not resolve the continuing tension between professionals and lay citizens. As one highly placed administrator put it:

> teachers and parents were often thrown together with no specific problem or purpose to work on. There was mistrust on both sides. Nothing was done to help bring them together in a mutually supportive, problem-solving manner.

The by-laws developed by the Council also hampered proceedings. For example, by demanding 2/3's for a quorum, the original by-laws were unrealistic as to future attendance.

Communication and the relationship between the School Board and Planning Council provided another issue which needed to be worked out. Clear guidelines and statements were missing during the first year. These problems were partially solved when the School Board designated an official representative to the P.C.

Most observers also singled out the development of common objectives as occupying much of the time during the first year--although this activity was never resolved satisfactorly. Many and diverse issues were raised during meetings of the Planning Council. One member described the sessions as "hitting most everything but solving nothing". The

school leadership and consultants were viewed as pushing for long range, system-wide planning, while many members of the Council called for short range, specific-issue planning. The development of the many Ad Hoc Committees were in large part a response to the pressure most participants felt to "have something happen".

External Help

Lakeshore received external help in a variety of forms. Funds were set aside by the State Education Department for use by the district. Consultant help was available from the State and other organizations "on demand". No one consultant worked on a close, on-going, regular basis. Perhaps as a result of this, no one planning model was ever adopted by the district--other than the philosophy of widest possible involvement as was built into the project from the beginning.

Finally, a network developed between Lakeshore and other districts involved in the State project. In practice this network was highly personal and worked mainly at the Chief School Administrator level. However, Superintendent Johnson reported the communication with other C. S. A.'s to be valuable.

In return for participation in the State project, Lakeshore kept detailed notes of proceedings and activities and opened its doors to State personnel who attempted to "track" Lakeshore as it went about the business of redesigning its school system.

The Second Year

By the end of the second year--when interviews were conducted for the present case study--the project personnel could point to specific accomplishments, as well as the continuation of many of the problems encountered during the first year and as yet unresolved.

A Project Coordinator was selected by the School Board with the recommendation of the Superintendent. The individual had been a long-time resident of Lakeshore, involved in many community activities and a school principal. He saw his charge as:

> developing communication among all the groups involved and helping each group in their planning.

A store was purchased downtown for his office which was also to serve as meeting place, resource center and information distribution for the project. The Project Coordinator also further developed the system of newsletters, meeting minutes, and news releases with the objective of increasing communication regarding education and the Project to the community and school participants. The size and complexity of the undertaking demanded the full time attention which could now be provided by the Coordinator, according to the Superintendent.

The number of subcommittees grew quickly in the second year. Also the P.C. continued to meet monthly, although attendance kept falling.

The relationship of the Teachers Organization, School Board and State Project Consultants to the P. C. continued to be seen as important and divisive issues. As Superintendent Johnson put it:

> the axe-grinding continued, but at times we seemed to be emerging.

Activities and Problems

The Lakeshore project resulted in the initiation of several new activities for the district.

Participants agreed that communication between the community and school was at an all time high. More community people were involved in educationally-oriented matters than ever before. Most observers were quick to note that the quality of the communication lagged the quantity, and that old as well as new wounds were opened by the project.

Examples of Activities

By the end of the second year of operation the project had produced a number of identifiable programs or experiences. A sampling includes:

-- a store-front "Project Center" had been opened. Located downtown this center was stocked with literature dealing with education in general and the redesign project specifically. The Project Coordinator's office was located here and he made himself available to local residents wishing to raise questions or bring up issues.

-- a large number of Ad Hoc Committees had been set up and were functioning. For example, a committee composed of citizens, teachers, and students met weekly through one summer to study the concept of an Ombudsman for Lakeshore. They had systematically consulted administrators, board members and other interested parties for in-put into their proceedings and had contacted schools using such a concept. As the case study was being made their recommendations were being studied by the P.C. Other functioning committees included such diversity as Finance, Continuing Education, and Alternatives to the High School Programs. A new committee on Drug Education was being formed in response to the recent community survey. The actual impact of these committees was hard to judge in their early stage of development.

-- the district's professionals as well as those engaged in the Planning Council received consultant help from a variety of sources due to recources provided by the project. In-service training sessions for teachers (e.g. on objectives, humanistic education, etc.), administrators (e.g., goals oriented management training), and planning participants (e.g., various approaches to the planning process in education) were conducted.

-- a network of communication between the community and school had been developed which included the use of newsletters, extensive use of local media, distribution of minutes of the various and numberous meetings and the like.

-- a network of communication had developed among the various grade levels (elementary, middle and high schools), the various buildings, and among other schools throughout the State engaged in the similar State project. In the latter case, Superintendent Johnson noted that he often

phoned "other administrators in the network when he faced a problem to see if they, too, have encountered it, and find out how they have handled it."

The two year history of the project also included the emergence of a number of major problems. One Advisory Committee member described the two year experience in the following manner:

> We went through a period of mistrust, lack of communication, resistance on the part of some groups, and sometimes out-and-out hostility. I think--and hope--that's in the past now.

The participants generally agreed upon the following issues as being the sources of such problems:

1. representation--the representation issue was raised early and continually had to be faced. The local Teachers Organization made it clear that they felt "left out" of the inital organization. How, they argued, could programs be planned without the participation, in fact leadership of the teachers? The fact that the project began in the summer when many teachers were away and the Teacher's Organization inactive was seen as an excuse by the organizers of the project, and as a source of continuing irritation by the teachers. Under pressure from the Teachers' group the number of teacher representatives to the Planning Council increased. As late as the spring semester of the 2nd year of the project a leader in the Teachers Organization could still say: "we are still attempting to define our relationship to the project. It still remains unclear." Other representational issues were raised by a welfare organization and a conservative taxpayers' group.

2. purpose--the project experienced difficulty in developing an accepted and commonly understood set of propositions concerning the purpose of the project. Some saw the project as a means to increase the power held by the community as opposed to the professional. It became a target of the taxpayers group. Some groups saw the project as a means to bring about needed change in education. Opposed to them were those who similarly saw the project as fostering change but were opposed to change. Many came to see the project as identical to the new program in the open-space school--a program which had drawn some very vocal criticism in the community.

3. relationships amongst subsystems—several difficult interface issues emerged. The relationship between the Planning Council and the Board of Education became a source of irritation. According to one school administrator:

> What we had was the development of two hierarchies, sometimes in competition with each other. Some members of the Council felt that either they should have real power or go out of existence; while Board members felt that their existence would be threatened by a too powerful Council.

Also the relationship between teachers and lay citizens in planning and recommending programs provided an arena for conflict to develop. One teacher described the relationship as one dominated by mistrust:

> There always seemed to be a high degree of mistrust between teachers and non-professionals.

Difficulties also developed between the Advisory Council and Planning Council, and between some subgroups within the community and State consultants.

4. time—almost all participants described the variable time as a problem issue not adequately faced. The extra burden of meetings, preparation, and training sessions helped to cause an attrition in numbers as well as interest over the first two years of the project.

5. finally, lack of conceptualization of the process—many participants complained of the "patchwork" nature of the project. For example, teachers often stated their dissatisfaction with the way the original Council was constituted. Administrators as a group seemed to agree that clear patterns of communication and coordination, and lines of responsibility had not been given adequate forethought. Council members pointed to difficulties in relating planning to action especially for the first phases of the project. Also, the tension between time frames held by various groups was not anticipated, e.g., the long run planning which seemed implied by consultants and school leaders vs. the desire of many subgroups on the Council to meet immediate needs.

Chapter IX

The Westside School: A Case Study of Organization Development and Educational Planning

Background

Westside is a K-8 school located in an industrial city of 50,000. It is a neighborhood school for approximately 1,000 students. It's professional staff includes sixty teachers and one principal.

The facility is adequate for the number of students, and well maintained. The neighborhood is predominately lower middle class. The school, itself, has a reputation of being a "tough assignment."

The principal at the time of the OD-Planning project was an energetic man, in his early 30's. The 1969-70 school year was his first year on the job at Westside.

Initiation

A set of circumstances existed in 1969 which made an organization development program possible at Westside. The Superintendent of Schools recounted that the entire central office staff felt that the district's personnel were in need of managerial training. As he freely admitted:

> No one knew exactly what we wanted, but we knew we wanted something. It was no longer sufficient just to hire a principal or an administrator and turn him loose.

The school district had been involved in a series of educational management development programs. However, the seminars did not have much of an impact, according to participants. Therefore, the district leadership was ready for a new approach--at that time almost any approach would do. As the Superintendent stated: "an on-going effort of some sort was needed to help our people make needed changes."

Regional Planning Center

At this same time the Title III Regional Planning Center was organizing a consortium of schools to be involved in an organizational development training program. Its purpose was to enter into a joint training effort that would focus upon the change process. The objectives were long term. The personnel at the Center insisted that they offered no panaceas. Instead, they planned to concentrate on process training for participants and at the same time, introduce a relatively simple planning model.

The Center's Director explained that they had decided not to work with entire school districts, but rather, with individual school building units within a number of districts. This decision was made for several reasons. He felt that each group they worked with had to be committed to such training, and that this would not be the case unless the decision to join was made at the building level by the people who would actually be involved. Also, it was feared that central offices would push for common solutions and programs which would violate the Center's basic tenet that individual solutions, generated by building teachers and administrators, are the most viable.

The Director also explained the rationale for the consortium approach. On the practical side, he stated, programs could be designed by the Center and delivered only once to the total group of schools. Also, it was designed so that participants from different school units could share common frustrations, experiences, successes, and examine common problems. This type of exchange, according to the Center's design, would provide for greater normative supports for participants, as well as make available a larger resource

base. The Center was available, however, for work with individual school units as needed.

The stated objectives of the Regional Center were:

(1) to assist local school systems in diagnosing their existing ability to manage a productive process of planned change;

(2) To develop strategies for improving the system's capacity for self renewal;

(3) To improve procedures and structures for the management of educational change; and,

(4) To mobilize a larger resource base for the planning and implementation of activities supporting the local school's progress towards self-renewal through cooperative efforts.

The Center began its efforts by contacting the chief school officers of all area school districts and informing them of the services available from the Center and describing the proposed program.

Local Initiation

The principal of Westside was Mr. Thomas Chandler. Mr. Chandler was from outside the local school system and had previously been engaged in human relations training at his previous school. He keenly felt the need for such training after only a short time at Westside. As he said:

> when a physical fight between the elementary and junior high teacher union representatives almost erupts in my office you figure you can't avoid looking for human relations training.

He added that this example of conflict was typical of other inter-staff strife: between elementary and junior high teachers; women and men; young and old teachers; and pro-administration and pro-union teachers.

Cliques, he observed, were well formed. There was little communication. Almost no communication took place on school-related subjects. Executive fiats seemed to be the only accepted means of accomplishing tasks at the school.

The Superintendent "passed the O.K." to building principals regarding their participation in the new program being developed by the Regional Center. He did not push the idea nor suggest any one school for involvement.

The Superintendent, principal, and teachers all agreed that it was Mr. Chandler who was the true local initiator of Westside's involvement in the program. He contacted the Superintendent, and the Center. He developed interest in the project amongst his staff by talking to them individually, in small groups, and as a total staff. He felt a strong need for the type of services provided by the Center, wanted to be involved in the programs, and made all the necessary contacts to ensure Westside's participation. The teaching staff had no doubt about the principal's enthusiasm over the project, and his enthusiasm proved to be contagious, according to teachers who actually became involved. The whole faculty did not join the training team. Many, at that time, considered the project "just another gimmick," or a "waste of time."

Implementation

The Center's first step was to call a meeting of area building principals to explain the consortium and the types of training to be provided. Shortly after, in May, 1970, a two day demonstration session was held for prospective consortium teams. These teams consisted of principals and selected teachers of schools that had expressed interest in the project. All participants experienced abbreviated simulations of what could be expected of future

training exercises. As a result of this session fourteen schools joined the consortium, including Westside.

A five day workshop was conducted the following summer. The workshop focused on team building, problem solving skills, and strategies for inducing change. Throughout the session the trainers stressed the importance of translating the developing skills into planning activities designed to meet problems of the participants in their schools. The focus, as it would be throughout the intervention, was upon building group skills and awareness in participants. Consultants often helped them confront issues that individual members were reluctant to mention. Many of the sessions drew upon techniques and procedures developed by the National Training Laboratory and other groups concerning with sensitivity training.

A November workshop was called by the consortium council. Consortium members had been engaged in the school year for three months, but some reported feeling submerged. After this meeting, which the Director termed a catharsis, the teams decided they needed new strategies for problem solving and more support for their activities in the schools. The Center attempted to provide both.

By May of 1971 most teams were asking for the development of specific skills they felt they lacked and for specific strategies for specific problems. A two day workshop was designed by the Center which attempted to focus on these needs as defined by the participants.

A one week workshop was held the next summer. The next academic year moved away from the consortium type of training and found the Center working with individual schools on a need basis. A few joint meetings were held, however, to compare notes and share experiences.

The Impact at Westside

The impact of the process training on the Westside faculty and their school program was evident only after a period of time.

The first year of training had little broad range effect on the school. It was a time of fertilization and incubation. Involvement in the training was strictly voluntary. Only twelve of sixty teachers

participated. They met informally, talked about how to change their own classrooms, tried to utilize the skills learned at training sessions and supported each other.

However, they did not try to bring about school-wide changes. The principal felt two factors determined this course of action. First, some non-participating teachers were contemptuous of the consortium. Feelings of "elitism," "principals pets," and "damn T group stuff" existed. Second it took a year of experimenting with the new behavioral patterns before the teachers and principal began to feel confident in using them with people who were neutral, let alone hostile. The principal and involved teachers found it necessary to play down the consortium affiliation while trying to implement change.

However, during this time the principal was building a group of concerned, committed teachers who would, in the following year, build upon their training in an effort to bring certain changes into their school.

Informants agreed that the second year of the project produced several results. They agreed that the consortium teachers at Westside were no longer concerned with skills, strategies, and process per se. It appeared that the skills they had been working on with the Center had become part of the group's normal operating behavior. In the second year the group began to attack school problems frontally. They reported that the skills they had gained from their previous experiences helped them tremendously.

The emerging "problem solving mode" was seen differently by each level of the hierarchy. The Principal saw the process as the formation of ad hoc committees, formed to solve problems identified in general faculty meetings. The committees were composed of both original consortium members and non-members. The barriers broke down. The committees, according to the Principal, further defined the problem as presented to them by the faculty, designed solutions, and brought them back to the faculty. No votes were actually taken, but an informal rule of 80% consensus was considered adequate for action. The committee at that point would dissolve and others would form with different membership.

The teachers, in general, saw nothing this elaborate happening. The building union representative, for example, described the committees as predetermined by the interest already formed in informal groups. The committee approach allowed teachers to do what they had already wanted to do and had an interest in doing. People began to get a chance to make decisions in those areas which were of interest to them.

The Superintendent's view of the process was even less elaborate. Whatever was happening, to him it looked just fine: "the principal and teachers worked together on problems."

Although the process looked different to the various participants, they all agreed that there were tangible results. The school had developed a new, and more relaxed discipline code. The reading program had been changed and given more emphasis. The social studies program underwent extensive revision. And the building developed a new learning center. The principal and the original consortium teachers had acted as a catalyst in bringing about the procedural, and normative structures for the school's planning.

Informants in the school agreed that the consortium played an important role in the school's evolving the way it did. They recounted the very excited, high-expectation period as the consortium teachers first experienced training. Then the disillusionment as they found that the Center failed to provide specific "spoon-fed" strategies for their specific problems. And finally the realization that they had to attack their own problems, and that the Center's process was only so frustrating because it made them take responsibility for their own direction.

The Planning Model

The planning model used by the Regional Center was relatively straight-forward. An outline of the steps employed in the process is given in Figure 2.

The intent of the Center was to introduce effective change through planning in regional schools. However, relatively little attention was given to complex procedures in the planning process. Computers were shunned. Extensive, district-wide efforts to develop "mission" statements were purposely omitted. Instead the Center concentrated on gaining the commitment of participants at the building level for orderly planned change. The group process training was seen as of vital importance if these groups were to actually come together and tackle the risk-taking behaviors involved in change.

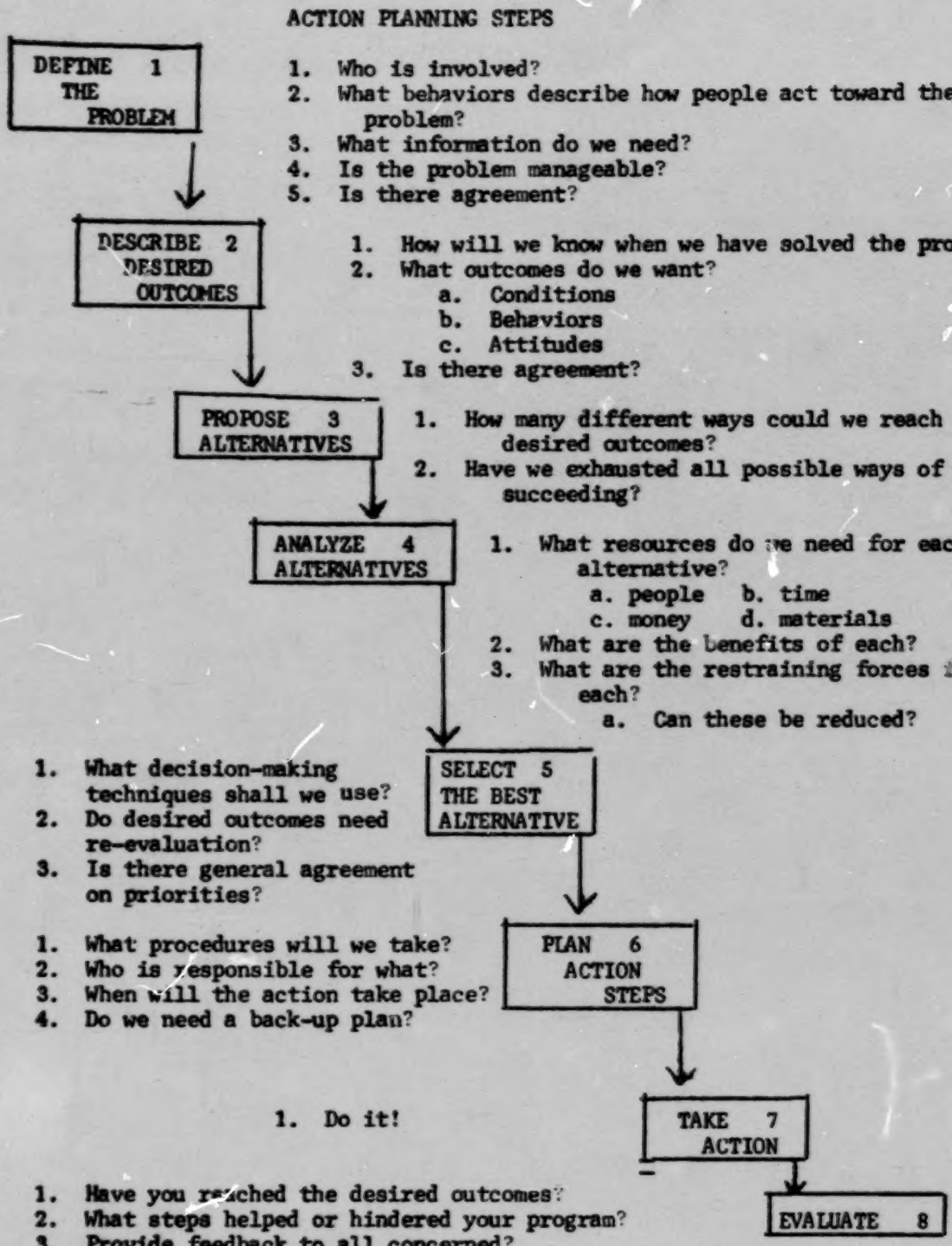

ACTION PLANNING STEPS
DEFINE 1 THE PROBLEM
1. Who is involved?
2. What behaviors describe how people act toward the problem?
3. What information do we need?
4. Is the problem manageable?
5. Is there agreement?
DESCRIBE 2 DESIRED OUTCOMES
1. How will we know when we have solved the problem?
2. What outcomes do we want?
a. Conditions
b. Behaviors
c. Attitudes
3. Is there agreement?
PROPOSE 3 ALTERNATIVES
1. How many different ways could we reach our desired outcomes?
2. Have we exhausted all possible ways of succeeding?
ANALYZE 4 ALTERNATIVES
1. What resources do we need for each alternative?
a. people b. time
c. money d. materials
2. What are the benefits of each?
3. What are the restraining forces for each?
a. Can these be reduced?
SELECT 5 THE BEST ALTERNATIVE
1. What decision-making techniques shall we use?
2. Do desired outcomes need re-evaluation?
3. Is there general agreement on priorities?
PLAN 6 ACTION STEPS
1. What procedures will we take?
2. Who is responsible for what?
3. When will the action take place?
4. Do we need a back-up plan?
TAKE 7 ACTION
1. Do it!
EVALUATE 8
1. Have you reached the desired outcomes?
2. What steps helped or hindered your program?
3. Provide feedback to all concerned?
4. Redefine problem if necessary.

Figure 2 - STEPS IN THE OD - PLANNING MODEL USED AT WESTSIDE

Leadership Change and Its Affect On Planning

Mr. Chandler was singled out as the initiator of the new planning stance taken by the school. He also set the tone for the trusting, supportive climate which participants experienced in that second year. A summary of the facilitating behavioral patterns of Mr. Chandler as seen by informants in the school included the following:

(1) He was open with staff members:

—"he let anyone march into his office anytime to complain or just talk..."

—"he freely stated his preferences but was willing to change."

—"he did not jump on people."

—"he encouraged people to take responsibilities."

(2) He did not require formal minutes of meetings or reports. He would attend a portion of each ad hoc committee meeting to find out what was going on and directly answer questions in his visits so teachers knew where the administration stood.

(3) He had high expectations for his teachers and those on the committees. During the first year he fought to get rid of teachers he considered inadequate:

—"he continually encouraged committees to expand their planning activities."

—"once plans passed in faculty meetings, he encouraged immediate implementation."

—"he was concerned with the process of implementing programs that the teachers wanted."

(4) He showed support for the activities of teachers and continually played up their importance;

—by attending each planning meeting

—ensuring only a small lag time between resolutions and implementation.

—by winning release time for teachers to engage in planning activities.

—by providing resources for the implementation of projects designed by teachers.

—by letting committees influence what he thought ought to be done.

The principal's behavior was consistent with the training objectives of the Regional Planning Center. The importance of this consistency can be seen in the experience of the faculty and its planning process after Mr. Chandler moved to another school.

Mr. Chandler was given a new assignment by the central office. He moved to a large junior high school building that had been a trouble spot and needed strong administrative leadership. The Superintendent recounted that he had liked what had happened at Westside, especially the high level of activity of the principal and teachers working together to bring about constructive change. He saw the movement of Mr. Chandler as a "pat on the back for a job well done, and a new challenge." "Chandler had met the challenge in a very difficult school," the Superintendent stated, "and was being moved to our roughest school."

Mr. Richard Holliday "Takes Charge"

Mr. Richard Holliday became the new principal at Westside. The school building was in its third year of involvement with the Center. That year saw much of the progress made under Chandler begin to wash out. The new norms which had developed amongst the faculty were subjected to a new challenge.

Mr. Holliday left little doubt that he was "the boss." This was accentuated by his abrupt approach to people. He was a retired army colonel and a county supervisor. The reasons for his appointment at Westside were unclear, and the Superintendent avoided direct reference to them. However, it was clear that Holliday had experienced diffuculty with the faculty of the school where he had been previously. The Superintendent expressed the sentiment: "I thought that the teachers might be strong enough to take care of him."

The Demise of the OD-Planning Perspective

The behavior of the new principal began to have effect on the normative and procedural structures which had developed under Chandler. One teacher commented, for example, that her curriculum planning group was losing interest because:

> recommendations were not being acted on,
> or were being rejected unilaterally.

She added that she would probably drop out of the group out of frustration.

Another faculty member recounted the difficulty of reaching Mr. Holliday because his door (physically and psychologically) was usually shut. Others referred to the problem of access to the Principal as particularly irksome. One consortium teacher made an observation echoed by others:

> he is more interested in floors, keys,
> chewing gum, and boilers than in education.

Decisions regarding the school began to be made unilaterally by Holliday. Decree replaced group planning. Consortium teachers were especially upset over the turn of events. A consortium teacher related that:

> the new principal was destroying the openness that took three years to build by his autocratic decisions, by stifling team decision-making, by not delegating authority, and at times, by flaunting the concept of academic freedom.

Mr. Holliday reinforced this image during interviews. He commented.

> I believe in this group process stuff but you have to show the teachers who is boss....
>
> I am in command around here....
>
> We follow the agenda closely at faculty meetings....
>
> Scheduling is a management prerogative...
>
> The student council should be a socialization process and nothing more....

He left little doubt that the decision-making process was seen much differently by him than by Mr. Chandler.

The battle was still raging during the time of the present research, but all indicators suggested that the new principal, and the values and procedures he represented, was winning. It appeared that Westside had almost come full circle.

The interventions by the Regional Planning Center and Mr. Chandler had changed the decision-making and planning process at Westside over a two year period. Changes were noted by participants in the planning and decision-making process, as well

as in the increased communication amongst the professional staff. The trust level reached new heights. Decentralization, a spark of excitement, a few meaningful changes--these and other factors were introduced into Westside. The new procedural and normative structures, so difficult to introduce, had started to become part of the normal behavior of participants within the school.

The "rule by fiat" which existed prior to the training project had taken two years to replace. New structures and relationships had evolved. All indicators suggested that within one year Mr. Holliday had replaced those new structures with ones very similar to what had existed previously. The OD-Planning project was over.

Chapter X

Analysis of Data

The data generated by the EPPQ and the four cases will be analyzed in this chapter using the conceptual framework described in Chapter 1. A series of propositions about educational planning will also be presented. The next chapter will further develop and refine the framework.

Point of Initiation

> This refers to the person, group or agency which initiates the planning process.

The superintendent was the key point of initiation in three of the case studies (Milton, Lakeshore, and Saxton). In Westside the superintendent's role was more a permissive one (he "passed the O.K." for participation) but he did legitimize the entry. The role of the principal was important in Westside and reflected the external agency's emphasis on building level participation. He, as the chief administrative officer of the subsystem engaged in many behaviors similar to those of the superintendents in the other three cases.

The school leadership in all cases were cosmopolitan types with strong formal and informal linkages to regional and state agencies. Also, in each case, the local leadership had certain objectives in mind which they felt would be attained through participation in a planning program, e.g., curricular and instructional change in Milton; better faculty relations and a changed decision making pattern in Westside; more financial accountability in Saxton; and the lure of outside funding, change, and prestige in Lakeshore. The stated objectives of each were different. Each had different views as to the current needs of the public school. All, however, saw in the planning projects a potential instrument for attaining local goals.

The key role played by the superintendent in initiating a planning program was also clear from the EPPQ (see Tables V and VI in Chapter III). In almost 87% of the cases the superintendent was involved in the initiation, either alone or in combination with others.

Proposition 1: Educational planning is an activity initiated by the chief administrative officer of a given system.

Proposition 2: The chief administrative officer plays the key role in local systems in initiating the planning process by (a) active leadership and/or (b) legitimation.

Consultant's Role

Role played by individuals and/or agencies external to the local system in initiating, implementing, sustaining, and giving definition to the local planning process.

An external agency was important in each of the four cases in the process of initiation. In each case an external agency provided stimulus through (1) funding possibilities, (2) simply being "available" to service local schools, and (3) formal and informal linkages with school leaders. The research was conducted during a time when the New York State Education Department was putting a strong emphasis on planning. All four districts were linked directly, or indirectly through regional efforts, to the SED effort.

The external agencies had a "package" to sell to the local districts. Three of the local districts were located near regional agencies which had adopted a certain model of planning: PPBS, Organization Development, or the approach associated with the American Management Association. The fourth, Lakeshore, joined the State's Redesign Project.

The external agencies, through the planning model they helped to implement, at least partially created the philosophy of local planning. Maximum participation became the mode in Lakeshore; joint problem-solving by faculty and administrators in Westside; and a statistical, accountabi-

lity model in Saxton. Local adaptations were most noticiable in Milton where strong administrative leadership appeared to overwhelm the original thrust of the external agency.

The external consultants also played other roles. They helped to set the expectation level locally. The high expectations in Lakeshore were due, in large measure, to the fanfare provided by the state personnel involved in Project Redesign--an expectation level which later haunted the local school leaders. In contrast, Westside participants were constantly reminded that O.D. was "no panacea", and "you have to do the work". Consultants also provided expertise in in the planning process, trained local participants, and provided funds for these purposes. According to the EPPQ almost 70% of the districts involved in planning used outside consultants (see Tables VIII, Chapter III)

Proposition 3: Consultants external to the local district play an important role in the local planning process and will help to determine the direction, form and substance of planning.

Proposition 4: Certain factors determine the local selection of consultant groups: (a) geographic proximity, (b) availability of funding, (c) compatibility with the goals of the chief school administrator, and (d) informal links between school leaders and the consultant group. In some cases consultant groups are able to "create a demand" for their own services through funding possibilities, the lure of prestige, informal links and advertising.

Funding

Provision of financial support through external and/or internal sources for the planning process.

The source for funding the planning process was mainly external to the local school district. The training of participants, payment of

consultants, workshops conducted at sites other than the local district--were all costs picked up by external agencies in the four cases. The main exception was in Saxton where the School Board hired an administrative intern to help in the implementation of PPBS.

Although the process of planning was paid for externally, any changes in programs which called for increase expenditure were, of course, a local expense. Also, the local district did have to re-allocate the time of employees to engage in planning and attend workshops. However, the importance of external funds in stimulating planning in local schools is quite evident from the case studies, as it was from the EPPQ. Of the schools responding to the question on funding in the EPPQ, 75% reported using external funds in the planning process, either alone or in combination with local funds.

> Proposition 5: Educational Planning in local school d stricts is very much dependent upon the availability of external sources of funding. Even when limited internal funds are allocated they are done so in conjunction with external funds.

Target Time

> Time designated in the plan for the achievement of the planned objectives, e.g., short range (1-2 years), medium range (3-4 years), and/or long range (5 years or more).

Short range planning was common to Milton, Saxton, and Westside. The planning was typically for the next s mester or following year. Attempts at longer range planning in Lakeshore ran into difficulties from the beginning. They, too, moved to short range planning after school leaders and consultants encountered stiff resistance to longer range planning.

"Most of us live in the short run", and "in the long run we all are dead" are appropriate adages for educational planning in the four districts. Obviously, participants felt most comfortable dealing with year-by-year planning and with problems of an "everyday" variety.

Proposition 6: Educational planning is typically conducted for the short range (1-2 years).

Proposition 7: Most participants in educational planning are unwilling or unable to consider matters beyond one year into the future.

Range of Context

What is to be affected by the plan, e.g., total system vs. subsystem, total curriculum vs. mathematics curriculum.

The clarity of the definition of the problem may well be the significant organizing element in educational planning. The range of context for planning varied in the four cases and seemed to be determined by the interplay of local conditions, and the emphasis of the planning model and project. For example, Saxton's (PPBS Model) budgeting system received early and sustained attention, but the school also moved onto a variety of other problem areas, e.g., reading, guidance, math. The latter projects were determined by more local conditions, while the emphasis on the budget was a natural one for a school working with a PPBS model.

Milton's range of context was clearly the high school's instructional and curricular systems, while Westside just as clearly worked upon interpersonal and decision making processes within a building unit.

Lakeshore lacked clarity in its' range of context. The range was so wide and the issues so muddled planning lacked direction. The wide range of context and nature of the project also led to the widest scope of participation of any of the districts.

Proposition 8: The greater the range of context the more diverse will be the scope of participation.

Proposition 9: The clarity of definition of the range of context will significantly help to determine the productivity of planning.

Target Group(s)

> Which people and how many are to be affected by the plan, e.g., certain groups of students, parents, teachers, etc.

This variable is very much related to the range of context. Clarity of the target group is related to the clarity of the range of context. The target groups also seemed to be determined by the interplay of local conditions and the nature of the planning model.

> Proposition 10: The target group of the planning process is determined by the interplay between the particular configuration of local problems and goals, and the nature of the planning model and emphasis of the external consultants.

Pattern and Scope of Participation

> Pattern of Participation: The sequence, scope, and intensity of involvement by people and/or agencies along the process time line after the point of initiation.
>
> Scope of Participation: Individual(s) and/or group(s) participating in the planning process, and/or the population from which they are drawn.

As suggested in Chapter III, an examination of the pattern and scope of participation lends valuable insight into the purpose, organizational patterns, and operation of planning processes. The pattern and scope of participation in the four cases can be analyzed using the same categories developed to examine questions #4 and 5 of the EPPQ (see Tables XI through XVI):

(1) The Professional Pattern--25.7% of the schools sampled in the EPPQ fell into this category. This pattern is characterized by the exclusive use of the planning processes by the professional staff, and not as a means to include other groups such as parents, taxpaper

organizations, students, etc.

Both Saxton (PPBS) and Westside (OD) fit this model. Milton eventually moved into the Professional Pattern as it moved away from initial wide involvement.

This pattern clearly places the professional staff in the position of initiating, conducting, and then implementing planning. Typically, there was greater participation in the planning process within the professional staff, with conscious attempts to include all participants in the process.

(2) The Internal to External Pattern—47.1% of the schools responding to the EPPQ fell into this category. Of the four cases, only Saxton showed signs of following this pattern after two years in the Professional Pattern. The timing of the study precluded the possibility that Saxton could be identified clearly within the pattern.

(3) Initial Wide Involvement Pattern—27.1% of the schools in the EPPQ fell in this category. This pattern is characterized by initial wide involvement of groups and committees which represent a wide variety of sub-groups within the school and community.

Lakeshore fit the pattern nicely. Most of the energy expended during the first two years was directed toward developing and then using a structure which allowed for maxium possible participation in the planning process. The character and problems of planning which developed in Lakeshore were very much interrelated with the invovlement issue.

Milton also fell into this category in the very early stages of planning. Under the influence of the regional planning center and the concept of the State's Redesign Project, Milton organized initial wide involvement. However, that stage was very temporary, and the actual processes and products of planning reflected the Professionsl Pattern.

The interrelationship between planning and the pattern and scope of involvement appears to be a key one. The Professional Pattern gave the teachers and administrators at Milton sufficient control to bring

about sweeping change in the local system--much to the displeasure of the local community. That pattern also allowed the Saxton professional staff to preserve the status quo and gain greater support from their Board of Education.

In all four cases, there was a desire to increase the scope of participation. In Milton, Saxton and Westside the drive was toward increased participation in planning by the professional staff. In Lakeshore, the widest possible participation by community and school groups became an important goal. The terms "planning" and "participation" almost came to mean the same thing. However, there is an important distinction between participation and actual power and involvement in final decision making, In Westside and Milton the planning participants were usually able to make final decisions--at least until both projects were aborted. Saxton retained its usual pattern of decision making, with planning participants playing the tole of "information givers."

Proposition 11: Inherent in educational planning is a mandate for the greater involvement of people.

Proposition 12: Involvement in educational planning includes two basic categories: professional and a mix of professional and community groups.

Proposition 13: Participation in educational planning is of two types: (1) information giving and (2) final decision making. Planning models differ on the roles they give participants these two types of participation.

Locus and Process of Decision Making

Identification of the highest level within the organization responsible for final decision making, and the process by which decisions are made.

The technologies and processes of planning are political resources for those who control them. More research is needed which examines the impact of the introduction of a planning system upon the local decision making process. The four cases and sections of the EPPQ strongly suggest that planning is, indeed, a political resource which can be manipulated.

The Saxton experience was one in which relatively complicated and sophisticated technologies were used by the professional staff. The products included the preservation of the educational status quo and an increase in support from the Board of Education. In contrast, the Milton professional staff used their assistance in planning to develop a program completely out of step with their community.

In both cases, the planning processes strengthened the hand of the professional staff in decision making. It should come as no surprise that the decisions reflected the values of the school leaders.

Similarly, the first principal in Westside used OD techniques to de-centralize decision making. The second principal destroyed the project in his efforts to re-centralize decision making. Finally, the question of who would make decisions in the planning process occupied much of the time of the participants in Lakeshore. The dissatisfaction expressed by the teachers union, questioning by Board members, and "interface" issues cited by school leadership--all reflected the recognition of local groups that planning was a potentially key resource in efforts to gain recognition for their own values and interests.

The cases all suggest the pivotal importance of the local political environment. However, against this backdrop, the cases and EPPQ are filled with almost a blind faith on the part of participants in the possibility of concensus planning. The consultants and school leadership in Lakeshore were the most extreme examples of this faith. The difficulty of such planning in a pluralistic community quickly became evident. Saxton did achieve a measure of concensus--at the expense of blandness?--but both Westside and Milton teachers found that rational, step-by-step, well documented and detailed planning does not quarantee success.

Two of the districts, Lakeshore and Milton, also raised the issue of professional versus lay control of decision making in education. Rational planning procedures alone were ill-equiped to handle this issue. Indeed, planning procedures became political resources in the question of "territoriality" between these groups. This particular issue was avoided--by not being confronted--in Westside and Saxton.

Several observers of planning processes in schools have written about the political restraints to planning. However, the data of this study also suggest the importance of viewing planning itself as a political resource and its relationship to local decision making as important perspectives in understanding educational planning.

Proposition 14: The locus of decision making in educational planning will become an issue as planning is conducted on controversial topics.

Proposition 15: Educational Planning is a political resource and will be used to reinforce the values of those who control it.

Proposition 16: The process of decision making in the planning process may be used to reinforce or contradict the customary decision making pattern in a school district.

Proposition 17: When there is a lack of local consensus on educational goals the locus of decision making in planning will be a controversial issue.

Locus of Responsibility

Identification of the highest level within the organization responsible for planning.

Closely related to the decision making process is the locus of responsibility for the planning process. The Superintendent was the locus in Lakeshore, Milton and Saxton. Westside differed in that the building principal held primary responsibility for the planning process, reflecting the building level emphasis of the project.

However, the legitimacy of that locus was questioned in both Milton and (to a lesser extent) in Lakeshore. As the planning project evolved in both of these cases, the struggle for control over the decision making process in planning was accompanied by attempts to change the locus of responsibility. In Milton, the School Board became the locus of responsibility as the case study ended. Lakeshore had a number of insurgent groups attempting to gain control.

The EPPQ pointed to the key role of superintendent as the locus of responsibility (see Tables VII, Chapter III). The school leadership in the central office, especially the superintendent (in 64% of the cases) and then the assistant superintendent (in another 21.2% of the cases) were the crucial figures responsible for the planning process. Of course, the EPPQ did not provide data on the perceived legitimacy of that locus by other individuals and groups within the districts.

Proposition 18: The locus of responsibility for the planning process in education generally rests in the office of the superintendency.

Proposition 19: The legitimacy of the locus of responsibility for planning will be questioned as planning moves into controversial areas.

Points of Intervention

Critical points along the planning process continuum where interventions of some kind are crucial to keeping the process moving (or stopping the process).

Planning is not process that once set in motion will continue in the same fashion unattended. Interventions are needed to keep the process moving in a productive manner--or bring it to an end.

The school leaders in Saxton had a several year plan for the implementation of the PPBS model. They intervened often to keep the school on a path of complete adoption, e.g. workshops, the hiring of a PPBS intern, designation of curricular groups to work with the planning model, participation by the leadership and consultants in planning with teachers. Similarly, in Milton the superintendent began to implement the planning process in the elementary school and continued to call upon consultant help for the high school faculty when that group began to move away from many of the steps involved in their planning model.

Interventions to stop the planning process were also very evident. The second principal in Westside and the School Board in Milton were engaging in very strong intervention techniques to abort the planning projects which had been developed. The most ineffectual interventions were found in Lakeshore. The school leadership was never able to get "a handle" on the wide participation planning that had been instituted. Clearly, strong interventions were needed.

Proposition 20: Interventions are needed to keep the planning process from "bogging down" and to give contined direction to the process.

Proposition 21: Interventions are needed to abort a successful planning program and will be attempted where planning has involved controversial areas.

Summary

The four cases were selected because they represented "model" districts according to their external consultants, and because each represented a distinct approach to planning. The various problems encountered and frequent failures of these "model" districts suggest the complexity involved in educational planning. Westside's project was simply ended--by a principal opposed to the ideas of OD. Lakeshore's political problems never allowed for a substantial amount of actual planning. Milton's professional staff planned well (educationally) but suffered defeat (politically). Saxton showed all signs of technical ability in planning, but no educational vision or creativity.

The conceptual framework employed in this study aided in giving a perspective on planning in the schools. The framework was useful in analyzing the data generated by the EPPQ and the four case studies. However, the data generated in this project strongly suggest the need for further development of that framework.

The framework adequately dealt with the more formal aspects of planning. But the EPPQ and case studies show that planning in the schools needs to be examined from a wider conceptual base.

Chapter XI presents a framework for analyzing planning which more clearly differentiates between the technologies of planning and process variables involved when planning is introduced and conducted in the schools.

Chapter XI

A Conceptual Framework for Viewing Educational Planning

The original framework described in Chapter I grew out of extensive review of the literature. That literature, in general, was found to be technical in nature and often written in an advocacy fashion. Few comparative studies, either conceptual or empirical, have been reported on educational planning.

The original framework has been refined and expanded based upon the experiences gained in the present study. The analysis of data generated by the EPPQ and the case studies suggests that certain changes are needed. The original framework was relatively adequate in examining the nature of planning models. However, the analysis points to the need for more variables which focus upon the organizational and political nature of planning. Also, the study pointed to the need to examine the variety of ways local school systems can apply the various planning models.

This chapter presents a refined framework for viewing educational planning. Such a framework is needed for three major reasons. A great deal of research is needed which focuses upon the emerging field of educational planning. A framework provides focus for studies and generates research questions. Second, a framework provides practitioners in the field with a means by which to analytically examine planning models and their own experience. Finally, a properly developed framework is an excellent instructional tool for use in the classroom.

The framework is organized around three basic questions:

(1) What are the specific techniques and methodologies of the planning approach? (Techniques and Methodologies)

(2) How does the planning approach gain and retain legitimacy and effectiveness in the school system? (Process Variables)

(3) How is the planning approach actually used in the school system? (Functional Application)

The Framework--An Outline

(1) Techniques and Methodologies

- --Scope of Participation
- --Time Frame
- --Range of Context
- --Resource Allocation
- --Involvement Techniques
- --Initial Organization
- --Points of Intervention
- --Consultant's Role

} What are the specific techniques and methodologies of the planning approach?

(2) Process Variables

- --Initiation
- --Diffusion
- --Commitment: General to planning and specific to the particular approach
- --Interface Relationships
- --Communication and Coordination
- --Leadership and Risk-Taking
- --Decision-Making Process

} How does the planning approach gain and retain legitimacy and effectiveness in the school system?

(3) Functional Application

--Mode (a) Design-Process
(b) Solution -- Implementation
(c) Description (Kaufman, 1970, pp. 121-180)
--As a Political Resource
--Planning and Change

} How is the planning approach actually used in the school system?

(1) Techniques and Methodologies

This category of variables focuses upon specific techniques and methodologies of planning models. The variables are characteristrics basic to the planning process. Each has a bearing on the process according to the data generated in the present study.

SCOPE OF PARTICIPATION:
Individuals and/or groups participating in the planning process, or the population from which they are drawn.

TIME FRAME:
The length of the time into the future which is planned, e.g., immediate (day-by-day decisions), short range (1-2 years), medium range (3-4 years), long range (5 years or more).

RANGE OF CONTEXT:
What is to be affected by the planning, e.g., total system vs. subsystems, total curriculum vs. mathematics curriculum.

RESOURCE ALLOCATION:
Time and funds allocated for the process of planning.

INVOLVEMENT TECHNIQUES:
Techniques used by local initiators and/or consultants to gain the involvement of other individuals and groups in the planning process.

INITIAL ORGANIZATION:

Steps taken and apparatus set up in the local system prior to the actual planning in order to faciliate the process e.g., selecting participants, creating committee system, provision of training sessions.

POINTS OF INTERVENTION:

Points along the planning process continuum where interventions of some kind are crucial to keep the planning process moving.

CONSULTANT'S ROLE:

The role of the outside individual and/or agency in initiating, implementing, and giving character to the planning process, including funding.

These items provide a convenient "check list" for comparing planning approaches in general, and specific adaptations made locally. As is noted in Chapter X, the items did discriminate among the models examined in the study and across local schools as reported in the EPPQ.

(2) Process Variables

This category focuses upon several processes which were found to be key variables as local school systems attempted to implement and sustain systematic planning. This category deals mainly with the organizational and political environment within which the planning must take place. The bulk of the literature on planning has had little to say on these items. However, they proved to be significant factors in the present study in determining the nature of local planning. The variables deal with the factors involved in gaining and retaining legitimacy and effectiveness in the local school system.

INITIATION:

This includes the source of stimulus for beginning systematic planning (the person, groups or agency which initiates the process) and the role of the initiator(s).

DIFFUSION:

The sequence, scope, intensity, and methods of involvement by individuals and groups after the point of initiation.

COMMITMENT:

Two types of commitment are referred to:

(a) General Commitment to Planning--this refers to the means by which a commitment is gained to the need for the planning and to the level of commitment actually attained by participants in the system.

(b) Specific commitment to the Specific Approach--this refers to the means by which commitment is gained to the specific procedures, processes, and demands of a specific planning model (e.g., PPBS, MBO), and to the level of commitment actually attained by participants in the system.

INTERFACE RELATIONSHIPS:

The planning process brings together and requires the cooperation of diverse groups. This concept is based upon the idea of territoriality and in the socio-political differences found in subgroups of complex systems. Interface issues are often conflicting and arise as distinct groups attempt or are forced to develop a working relationship--or interface--with other groups. This item refers to the process by which such issues arise and are dealt with.

COMMUNICATION AND COORDINATION:

Formal planning usually entials the formation of new groups and committees, new participants, an increased flow of information and, in general, more organizational complexity. This concept focuses upon the processes used to provide communication and coordination during planning.

LEADERSHIP AND RISK-TAKING:

Planning may or may not lead to change. Seeking change through the planning process, however, does involve risk-taking behavior. This dimension relates to leadership sytle and risk-taking behavior in the planning process.

DECISION-MAKING PROCESS IN PLANNING:

Operationally and ideally, planning entails organizing for making and carrying out decisions concerning the future of a system. The planning model used may alter

or reinforce the typical decision making process of the system. New loci of power may form or the status quo may prevail. This item focuses attention upon this process during planning and includes locating power and influence within the system and its' interrelation with the planning process.

(3) Functional Application

The data generated in the present research point to the various applications which can be made of the planning process. This category recognizes these various applications.

MODE:

The actual application of planning can vary from a system which is continually planning but never implementing plans, to a system which is captured by fads and is continually attempting to implement new programs without examining the overall, continuing goals of the system. Kaufman (1970) has suggested the following modes of application of the planning process.

(a) Design-Process Mode--assumes little or nothing about the validity of the on-going system and is a complete approach, from needs assessment through implementation and evaluation.

(b) Solution-Implementation Mode--is concerned with the identification and implementation of solutions and assumes a valid need exists or that the on-going goals and objectives of the system need not be latered.

(c) Descriptive Mode--emphasis is upon describing the existing and/or desired system, but not on alternative solutions or implementation. This is the stage at which many of the school districts in the study reported "bogging down."

AS A POLITICAL RESOURCE:

Planning involves acting upon values in order to create a desired system in the future. The Planning Process is very much related to, and may be coincidential with the normal decision-making pattern of a system. The control of information, initiation of new ideas, and the final decisions in the planning process are political factors. Planning can be used as a resource by individuals or groups to help their own cause, e.g., centralizing the decision-making process into the hands of select groups. This item focuses upon the use and impact of the planning process as a political resource for individuals or groups within a system, whether anticipated or unanticipated at the initiation of the process.

PLANNING AND CHANGE:

A great deal of activity can go on in a system which can be called "planning" without actual change taking place. Planning can functionally be used to preserve the status quo and ensure its preservation into the future. Planning can also be a tool for bringing about change. The local environment of the school system and the nature of the "process variables", rather than the planning model and its technologies appear to be the key factor in determining this form of application.

Conclusion

The present study pointed to the complexity of the environment in which educational planning takes place. A conceptual framework for planning was described involving three categories of variables: Techniques and Methodologies, Process Variables and Functional Application. The latter two categories (Process Variables and Functional Application) especially stress the importance of factors often not included in the planning literature.

The planning methodologies and techniques examined in the present study were derived principally from institutions other than education--

mainly from business and government. Such "borrowing" of perspectives is not uncommon for educators (see Callahan, 1962). Yet unrefined transfer can be dangerous and misleading. Unique characteristics of the schools such as; weak data base, missing cause-effect links, affective-loaded nature of the institution, political and pluralistic environment, and the relatively labor intensive and isolated nature of its work technology, must all be accommodated in any planning.process in the schools.

The introduction of rational decision-making and planning technologies cannot be considered apart from a consideration of the complexities of educational institutions. The conceptual framework developed and refined in the present study is an attempt to capture key variables of planning qua planning, as well as planning in the school environment. It is hoped that future studies will build upon the framework and refine it further.

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APPENDIX

· SYRACUSE UNIVERSITY

SCHOOL OF EDUCATION | AREA OF EDUCATIONAL ADMINISTRATION AND SUPERVISION

216 SLOCUM HALL | SYRACUSE, NEW YORK 13210

Dear

We are currently engaged in a U. S. Office of Education sponsored research project concerned with educational planning. The initial step in the project calls for the identification of school districts presently involved in planning. Your cooperation in this phase would greatly facilitate subsequent steps and be greatly appreciated.

Specifically, the following information is needed:

1) a list of schools, based on your knowledge of districts in your area, which have made a conscious commitment in terms of time, effort and/or money to planning;
2) an indication of the approach being utilized in each district you identify--such as PPBS, N. Y. S. Redesign effort, Organization Development (O.D.), the approach associated with the American Management Association (AMA), and so forth; and
3) the name of the Chief School Administrator for each district identified.

A reply sheet and return envelope are enclosed for your convenience.

Thank you for your help.

Sincerely yours,

Samuel Goldman

Samuel Goldman
Chairman

SG:dg
Enclosure

SYRACUSE UNIVERSITY

SCHOOL OF EDUCATION | AREA OF EDUCATIONAL ADMINISTRATION AND SUPERVISION

216 SLOCUM HALL | SYRACUSE, NEW YORK 13210

Dear

About three weeks ago we contacted you regarding our Office of Education sponsored research into educational planning. Our goal at this stage is simply to identify school districts throughout the State involved in various approaches to planning.

At the present time we have not received a reply from your office. While realizing the time restraints you face, we would like again to ask your help. Hopefully it will take no more than a few minutes. Our project needs: (1) the identification of school districts in your area involved in planning; (2) the name of the chief school officer, and (3) the identification of the type of planning approach being used if it is known to you.

A reply sheet and return envelope have been enclosed for your convenience. If you have returned the original questionnaire, recently, please disregard this request, and thank you for your time.

The information generated by your response and that of the other District Superintendents in the State will be extremely valuable for the purposes of our research.

Thank you.

Sincerely,

Samuel Goldman
Chairman

SG:dg
Enclosure

from: Name _____

_____

IDENTIFICATION OF SCHOOL DISTRICTS INVOLVED IN PLANNING

LIST DISTRICT AND CHIEF SCHOOL OFFICER	CHECK TYPE OF PLANNING APPROACH (if known)---CHECK MORE THAN ONE IF APPROPRIATE						
	PPBS	Project Redesign	Organization Development	Management by Objective	Amer. Management Association (AMA)	Systems Analysis	Other-- Please Specify

Please return to: Dr. Samuel Goldman
Chairman, Area of
Educ. Admin. & Superv.
Syracuse University
Syracuse, New York
13210

SYRACUSE UNIVERSITY

SCHOOL OF EDUCATION | AREA OF EDUCATIONAL ADMINISTRATION AND SUPERVISION

216 SLOCUM HALL | SYRACUSE, NEW YORK 13210

Dear

We are engaged in a U. S. Office of Education sponsored research project, studying educational planning. Your school district was identified in our survey of District Superintendents as a local district currently involved in planning.

The current phase of the project entails the gathering of information about current planning practices utilized by schools throughout the State. We have enclosed a questionnaire which we would like to request that you complete. Your cooperation will be greatly appreciated. Given that so few schools have become involved in the planning process your contribution will be vital.

We would also ask that you read carefully the instructions on the front cover of the questionnaire. A return envelope has been enclosed for your convenience.

Thank you, in advance, for your time and cooperation.

Sincerely,

Samuel Goldman
Chairman

SG:dg
Enclosure

SYRACUSE UNIVERSITY

SCHOOL OF EDUCATION | AREA OF EDUCATIONAL ADMINISTRATION AND SUPERVISION

216 SLOCUM HALL | SYRACUSE, NEW YORK 13210

Dear

A few weeks ago we contacted you regarding our Office of Education sponsored research into educational planning. We are attempting to gather data concerning various approaches to planning throughout the State of New York. Your district was identified as involved in planning by questionnaires sent to District Superintendents.

At present we have not received a reply from your office. While realizing the time restraints you face, we would like again to ask your help. Hopefully, it will take no more than a few minutes.

The number of schools actively involved in planning is quite small, making your contribution to this research project very significant.

A questionnaire and return envelope have been enclosed.

Thank you for your time and effort in helping the project.

Sincerely,

Samuel Goldman

Samuel Goldman
Chairman

SG:dg
Enclosures

EDUCATIONAL
PLANNING
PROCESS
QUESTIONNAIRE

Instructions

We are interested in finding out a little bit about the planning process you are currently engaged in. Specifically, we would appreciate your responses to the questions contained in this questionnaire. We believe it should take no more than 20 minutes to complete.

Please place a checkmark in the box next to the statement that most accurately reflects a response to the question. In many cases, you may wish to check more than one item for a given question.

PLEASE RETURN BY MAY 15, 1972

Thank you.

EDUCATIONAL PLANNING PROCESS QUESTIONNAIRE

Name and Position: _____

School District: _____

---

1. Is a systematic and identifiable planning process occurring in your school district?

   ( ) Yes ( ) No

   How long has your district been involved in the process? _____

---

2. Who initiated this planning process?

   ( ) Superintendent

   ( ) Other Professional Staff. Please specify position(s):_____

   ( ) Board of Education Member(s)

   ( ) Student(s)

   ( ) An outside agency: ( ) Federal ( ) Private Consultant
   ( ) State ( ) University
   ( ) Regional ( ) Other, specify:
   _____

---

3. What is (was) the first target of the planning process?

   ( ) Total educational system of the district

   ( ) One or more subsystems

   ( ) Budgeting and Accounting System

   ( ) Instructional and Curriculum Development

   ( ) Cognitive Domain ( ) Affective Domain

   ( ) One or more specific subject area of curriculum development

   ( ) Language arts ( ) Science ( ) Media Resource Program
   ( ) Reading ( ) Arts
   ( ) Mathematics ( ) Vocational Education
   ( ) Social Studies ( ) Career Education ( )Others:
   _____

   ( ) Grade levels, if any _____

   ( ) Other subsystem(s), specify:_____

---

4. Please indicate by phase the pattern of involvement in the planning process. At the bottom of the page we have listed individuals and groups which might be written in. Others, of course, can be included.

Phase I (Earliest Involvement)	
Phase II (Next order of involvement - also list groups from Phase I still involved)	
Phase III (last to be involved- also list groups from Phase I and II still involv. ed)	

Superintendent	Parents	Student Representatives
Board of Education Member(s)	Taxpayers	Individual Students
Ass't Super. of Instruction	Special Ed. Director	Other,(specify):_____
Ass't Super. for Business	Pupil Pers. Director	_____
Principals (Jr. H.S.; H.S.; elementary)	P. T. A.	
Consultants (specify):	Teachers Organization	
	Individual Teachers	

_____

5. Give the approximate number of individuals to indicate what the scope of participation in the planning process is:

	Initially	Now
Administrators	( )	( )
Board of Education	( )	( )
Parents	( )	( )
Taxpayers	( )	( )
Students	( )	( )
Teachers	( )	( )
Consultants	( )	( )
Others (specify): _____	_____	_____

---

6. Identify the highest official within the organization with whom the operating responsibility for monitoring the planning process rests:

( ) Superintendent

( ) Assistant Superintendent for Instruction

( ) Assistant Superintendent for Business

( ) Specially appointed Administrator for this planning Process. In this case, what is his title: _____

( ) Board Member

( ) Principal

( ) Teacher

( ) Student

( ) Other person, (specify): _____

---

7. Identify the top group in the system which has the overall responsibility to monitor and move the planning process:

( ) a newly established planning group, consisting of (how many and who):

( ) a previously established group, consisting of (how many and who):

8. Have you employed an outside consultant to facilitate planning in your system?

( ) Yes ( ) No

If 'no", move to question # 11

---

9. If you answered yes to # 8, identify consultant(s) below:

( ) Federal U. S. O. E. Consultants
( ) State Ed. Department
( ) BOCES
( ) Regional Redesign Group
( ) Private Consultant Firm, (specify):_____
( ) University, College Faculty
( ) Other, specify:_____

---

10. If you answered yes to # 8, identify the role of the consultant:

( ) Training of initial planning group in the process
( ) Training of subsequent groups
( ) Observes the planning process and provides feedback
( ) Other (specify):_____

---

11. What is the source of funding for the planning process?

( ) Federal
( ) NDEA Title ( )
( ) ESEA Title ( )
( ) Others _____
( ) State: Name of Granting Office_____
( ) General fund of Local School District
( ) Private Foundation funds:
Name _____
( ) Other: _____

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12. What is the time span allocated for the development of your plan?

Number ( ) days

Number ( ) months

Number ( ) years

( ) no fixed time allocated, but plan is expected to be developed some time.

( ) on-going

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13. What is the time period designated for the implementation of the objectives in your plan?

( ) short range - 6 months - 2 years

( ) medium range 3 - 4 years

( ) long rang 5 years or more

( ) moving range, without an idea of the target time

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14. Which people and approximately how many are to be affected by the outcome of this planning process at the end of the time period indicated in # 13?

( ) students: estimate how many ( ) in grades ( )

( ) teachers: estimate how many ( ) teaching grades ( )

( ) Parents: estimate how many ( )

( ) Other, specify: _____: estimate how many ( )

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15. What approach is being used or adhered to in your planning process?

( ) O. D. Organizational Development

( ) PPBS Planning, Programming and Budgeting System

( ) DEPS Data-based Educational Planning System

( ) A.M. A. Approach consistently used by American Management Association

( ) P.S. Problem-Solving Approach

( ) S.A. Systems Approach

( ) Others: _____

1
16. What have been the <u>three</u> major problems you have encountered in keeping the planning process moving? For each problem indicate what has been done to deal with it:

PROBLEM	ACTION
(1)	(1)
(2)	(2)
(3)	(3)

17. Do the preceding questions adequately cover characteristics of the planning process in your district?

( ) Yes ( ) No

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18. If you answered no to question # 17, please elaborate (on specific questions you had difficulty answering for your district and/or important characteristics of planning in your district which were not considered in the questionnaire):

_____

_____

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19. If you have any documents describing your planning process we would appreciate your sending us copies. They would be of significant help to us in our project.

Thank you.

Please return to: Dr. Samuel Goldman, Chairman
Area of Educational Administration
and Supervision-211 Slocum Hall
Syracuse University
Syracuse, New York 13210

Local District

Interview: Planning Processes

PHASE I

A. Initiating the Planning Intent

1. Why are you involved in planning?
2. What are your goals?
3. Who initiated the idea? How?
4. What was the direct stimulus for your intention to go into a planning process?
5. What was your role in initiating the idea?
6. Who else was involved in the initiation? Why?
7. Do you have any outside funds?
8. Are inside funds appropriated?
9. What did you expect to be the outcome?

B. Defining the Range of Context

1. What (who) is to be affected?
2. Who is to direct and influence the process?
3. What is the scope of participation (what people, internal and external)?
4. How do you know that things are happening (monitoring system)?
5. What is the process time? (for planning process to be introduced).
6. What is the target time? (for actual plans to be developed and implemented)?
7. What is the sequence of groups to be affected (e g. Super--→central Office -→ Princpals)
8. Is a subsequent pattern of affected groups planned?

PHASE II

Gaining Commitment to the Intent

1. How did you get others to show your concern for planning?
2. How were people selected to participate?
3. Did you and they consider alternative planning modes? Which? Why one selected and by whom?
4. What resistance are you encountering in gaining comitment to the process?
   a) problems
   b) groups involved
   c) reasons given
   d) how resolved
5. What interventions do you use to keep the process moving?

PHASE III

The Planning System

* 1) What planning system are you engaging in? Any descriptive literature?
* 2) What are the unique benefits of this particular approach?
* 3) What problems do you see associated with this approach?
4) Where is the locus of responsibility?
5) What amount of time is involved in
   a(training in the process
   b) actual production of plans?

6) What has been the pattern of involvement?
7) How do you get involvement - by groups involved? (e.g. Board, PTA, etc)
8) Have new planning groups been formed?
   a) What are the linkages, to each other, to you, to others in organizations?
   b) If no new groups have been formed are there new linkages between existing groups?
9) Have new linkages been formed with external groups? What ones, why, how helpful? Or have old ones been made stronger in any way?
10) Were outside consultants involved? How? Why? What role did they play? How important were they? a) in learning Process, b) in developing plans?
11) What interventions do you use to keep the system moving?
12) What changes, if any, were made in this approach to planning locally? Why?
13) What specific techniques are used in your planning process? (e.g. brainstorming, sensitivity training, needs assessment, etc.)
14) What problem areas, topics, programs were subjected to the planning process first? Subsequent pattern? Why this pattern?
15) How do you go about translating actual plans which have been developed to reality? Problems encountered? How, who handles?

Changes

What changes do you see as a consequence of employing the planning approach?

a) in process of how programs are planned?
b) in actual products or programs?
c) in commitment to bringing about change?